

I·C·A·C

INDEPENDENT
COMMISSION
AGAINST
CORRUPTION

**Profiling the NSW Public
Sector 2007: Functions, risks
and corruption prevention
strategies**

**ORGANISATIONAL
SURVEY**

MAY 2007

Introduction

Purpose of study:

The Independent Commission Against Corruption (ICAC) is conducting research to develop a profile of the functions, corruption risks and corruption prevention strategies within the NSW public sector. A wide range of organisations are being approached to describe both the corruption risks they are facing and the corruption risk management strategies they are using. Understanding these will allow the ICAC to develop more effective corruption prevention tools and strategies. The ICAC also encourages organisations to use this questionnaire as an opportunity to review their corruption prevention tools and strategies.

The primary use of this data is to generate reports outlining the corruption risk profile of the NSW public sector. The data may also be used to help the ICAC better target delivery of its publications and to provide background information for internal use by the ICAC.

Your organisation's specific responses to these questions will **not** be referred to in **any** ICAC publication, including any ICAC investigation report. In future contact with your organisation, the ICAC will refer to your responses only upon **your** explicit request.

Confidentiality:

A list of organisations that participate may be released but individual responses will **not** be identified. When reporting results, they will be grouped by general type of agency.

Your response is valued:

It is important for the ICAC to receive information from each and every organisation selected for inclusion in this research so that the answers accurately reflect those across the whole NSW public sector. This will help to ensure a fuller understanding of corruption risks and their management.

Who should fill in the questionnaire:

This questionnaire is being sent to you so that either you or any nominee can coordinate the completion of the questionnaire on behalf of the organisation. This questionnaire may take up to approximately three hours to complete, as time may be required to contact various business units to gather the required information.

Feedback:

All participating organisations will receive a copy of the report which summarises the collective responses from all participating organisations and relevant subgroups.

Please complete this questionnaire and return it in the enclosed reply paid envelope to the ICAC Research Section **within two weeks**.

If you are unable to complete the survey within this timeframe or if you have any questions about it please contact Evalynn Mazurski, Senior Research Officer, on (02) 8281 5836 or free call 1800 463 909 (from outside Sydney).

Thank you for your support.

Definitions

Corruption: Some questions refer to “corruption”. The definition of corruption used by the ICAC is included in Sections 7-9 of the *Independent Commission Against Corruption Act 1988*. It is defined as being any conduct that adversely affects (or that should adversely affect) either directly or indirectly, the honest or impartial exercise of public official functions. In addition, for conduct to be considered corrupt, it must also constitute a criminal offence, a disciplinary offence, or reasonable grounds for dismissal.

Some examples of corruption include (but are not limited to) using official resources for private purposes, fraud, nepotism, improperly favouring a supplier or taking bribes.

Organisation: Some questions refer to an “organisation”. This survey is being sent to a variety of public sector organisations. Whether you are replying in relation to a government department, local council, Local Aboriginal Land Council, state owned corporation, university, board or committee or other type of organisation, in this survey “organisation” refers to your agency.

Staff: Some questions ask about “staff” at your organisation. Staff may be employed on a full time, part time, casual or contracted basis. Depending upon your organisation type, staff may also refer to people such as board or committee members and/or elected officials (e.g. councillors).

Risk: Some questions ask about the “risk” of corruption or the management of this “risk”. Risk may be defined as the chance of something happening that will have an impact on objectives. A risk is often measured in terms of the consequences and the likelihood of an event.

A “corruption risk” specifically relates to the risk of improper conduct by one or more individuals. It does not include risks which are beyond the influence or action of one or more individuals, for example, the risk of a catastrophic natural event is not a ‘corruption risk’. However, systems, policies, procedures, and informal work practices that create the opportunity for an individual to engage in corrupt conduct, or are conducive to corrupt conduct, are ‘corruption risks’.

Your organisation and its functions

The following questions ask about your organisation, its functions and its people.

(i) Name of organisation: _____

(ii) Position of respondent: _____

1. Is your organisation:

please tick only one box

- ¹ A board or committee?
- ² A government department? **Go to Q5**
- ³ An authority? **Go to Q5**
- ⁴ A state owned corporation? **Go to Q5**
- ⁵ A university? **Go to Q5**
- ⁶ An area health service? **Go to Q5**
- ⁷ A local council? **Go to Q5**
- ⁸ A Local Aboriginal Land Council? **Go to Q5**
- ⁹ Other (*please specify*) _____ **Go to Q5**

2. Does your board or committee have responsibility for any of the following:

please tick as many boxes as apply

- ¹ Setting strategic direction?
- ² Ensuring compliance with statutory requirements?
- ³ Undertaking risk management?
- ⁴ Monitoring operational performance?

3. How are board or committee members appointed?

please tick as many boxes as apply

- ¹ Competitive selection
- ² Appointed by minister
- ³ Appointed by governor
- ⁴ Elected
- ⁵ Other (*please specify*) _____

4. How many of your organisation's newly appointed board or committee members receive training or information about their role, responsibilities and accountabilities?

please tick only one box

- ¹ None
² Few
³ About half
⁴ Most
⁵ All

5. What is your organisation's **main** areas of business?

please tick as many as apply

- ¹ Public order and safety (e.g., police, fire protection, courts, legal services, corrections)
² Education
³ Health
⁴ Social security and welfare
⁵ Planning and building development
⁶ Housing and community amenities (e.g., housing and community development, water supply, sanitation)
⁷ Recreation and culture (e.g., national parks and wildlife, libraries, museums, broadcasting, film production)
⁸ Mining and mineral resources other than fuels
⁹ Fuel and energy
¹⁰ Agriculture, forestry, fishing and hunting
¹¹ Transport and communications (e.g., road construction and maintenance, parking, water, rail or air transport, multi-mode urban transit systems and communications)
¹² Other economic affairs (e.g., markets, tourism, storage, saleyards, labour and employment affairs, industrial relations, workcover)
¹³ General public services (e.g., legislative and executive affairs, financial and fiscal affairs, external affairs, general research, general economic and social services, government superannuation benefits)
¹⁴ Other purposes (e.g., public debt transactions, general purpose inter-government transactions, natural disaster relief)
¹⁵ Other (*please specify*) _____

6. How would you describe your organisation's **main** role(s)?

please tick as many boxes as apply

- ¹ Provision of a service(s) to your community
- ² Regulatory control
- ³ Policy formulation/provision of advice to government
- ⁴ Accountability body/complaint handling about other agencies
- ⁵ Other (*please specify*) _____

7. What proportion of your organisation's funds are from the government budget process?

please tick only one box

- ¹ most or all (budget dependent)
- ² some
- ³ 5% or less

8. What is your organisation's recurrent budget?

please tick only one box

- ¹ Less than \$1 million
- ² \$1 to \$4 million
- ³ \$5 to \$20 million
- ⁴ \$21 to \$50 million
- ⁵ \$51 to \$100 million
- ⁶ \$101 million to \$1 billion
- ⁷ Over \$1 billion

9. How many employees does your organisation have?

please tick only one box

- ¹ 5 or fewer
- ² 6-15
- ³ 16-50
- ⁴ 51 -100
- ⁵ 101 to 500
- ⁶ 501 to 999
- ⁷ 1,000 to 1,999
- ⁸ 2,000 to 4,999
- ⁹ 5,000 to 9,999
- ¹⁰ 10,000 or more

10. What proportion of your organisation's staff is (a) temporary, casual and/or contracted (b) volunteers?

please tick only one box for each

	<1%	1-5%	6-10%	11-20%	21-50%	>50%
(a) temporary, casual and/or contracted	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
(b) volunteers	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶

11. (a) Are there groups within your organisation who **generally** do not consider themselves as part of the public sector (e.g. university academics, visiting medical officers, board members, public defenders, volunteers)?*please tick only one box*

- ¹ No **Go to Q12**
- ² Yes

(b) What proportion of all staff do these groups comprise?

please tick only one box

- ¹ Few
- ² About half
- ³ Most
- ⁴ All

12. How many office locations does your organisation have?

please tick only one box

- ¹ 1
² 2 to 5
³ 6 to 10
⁴ 11 to 100
⁵ 101 to 1,000
⁶ more than 1,000

13. Please describe the population of the town/city where your organisation (or the head office if there are multiple locations) is located:

please tick only one box

- ¹ Less than 10,000
² 10,000 to 30,000
³ 30,000 to 50,000
⁴ 50,000 to 500,000
⁵ More than 500,000

14. Please describe the jurisdiction of your organisation (i.e. what areas your organisation covers):

please tick only one box

- ¹ Whole of NSW
² Region within NSW

15. How long ago did your organisation commence performance of its main roles and functions? (If your organisation changed its name, merged with or split from another organisation but still was performing essentially the same functions, you would count the whole period.)

please tick only one box

- ¹ Within the last year
² 1 to 5 years ago
³ 6 to 10 years ago
⁴ 11 to 20 years ago
⁵ 21 to 50 years ago
⁶ More than 50 years ago

16. How long ago did your organisation commence operation in its current form? (For example, if your organisation merged with or split from another organisation, how long since this change?)

please tick only one box

- ¹ Within the last year
² 1 to 5 years ago
³ 6 to 10 years ago
⁴ 11 to 20 years ago
⁵ 21 to 50 years ago
⁶ More than 50 years ago

17. In the last three years, has your organisation:

please tick one box for each

	No	Yes
Experienced a major restructure or downsizing?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
Merged with another organisation?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
Split from another organisation?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
Privatised some or all of its functions?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
Outsourced one or more major functions?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
Been placed under administration?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²

18. Does your organisation have:

please tick one box for each

	No	Yes
An outsourced information and technology function?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
Outsourced corporate services?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
A business unit(s) that provides marketable services?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
A profit-driven business unit(s)?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²

19. Please indicate if your organisation performs each of the functions listed below. If a function is performed by your organisation, please indicate if there is a policy framework for how it is done.

	Don't perform function	Perform function	
		Policy framework	No policy framework
<i>please tick one box for each</i>			
Has discretion concerning land rezoning or development applications.	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³

	Don't perform function	Perform function	
		Policy framework	No policy framework
Inspects, regulates or monitors standards of premises, businesses, equipment or products (e.g., inspecting health or safety standards).	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Issues, or reviews the issue of, fines or other sanctions.	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Makes determinations/hands down judgements about individuals or disputes (e.g. preside over hearings, court matters).	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Tests blood, urine or other bodily samples from people or animals (e.g. drug testing, forensic testing).	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Issues qualifications or licences to individuals to indicate their proficiency or enable them to undertake certain types of activities (e.g. educational or competency qualifications, fishing licences, driver's licence).	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Allocates grants of public funds.	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Receives cash payments (e.g. admission fees, school excursions, shop sales, fines).	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Sells tickets (e.g. for public transport, admission passes).	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Provides a service to the community where demand frequently exceeds supply (e.g. allocation of hospital beds, allocation of housing).	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Provides subsidies, financial assistance, concessions or other relief to those in need (e.g. for accommodation, transport, utilities).	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Provides assistance or care to the vulnerable or disabled (e.g. home or institutional care, guardianship, financial management).	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Provides a service to new immigrants (e.g. driver's licence, accommodation).	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Undertakes construction (e.g. buildings or infrastructure).	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Has regular dealings with the private sector other than for the routine purchasing goods and services (e.g. strong commercial interface).	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³

Corruption risk areas

The following questions ask about your organisation's perceptions of corruption risk and their management.

Please note – The purpose of this questionnaire is simply to understand the corruption risks and associated strategies across the NSW public sector. Your answers will be kept confidential.

20. (a) Listed below is a range of activities/occurrences. Indicate the extent you consider each of these to be a potential corruption risk within your organisation using the options below.

- 1 it is a **major risk** area for corruption in your organisation that is currently **being well handled**
- 2 it is a **major risk** area for corruption in your organisation that currently **requires more attention**
- 3 it is a **minor risk** area for corruption in your organisation that is currently **being well handled**
- 4 it is a **minor risk** area for corruption in your organisation that currently **requires more attention**
- 5 it is **not a risk** area for corruption at all in your organisation although your organisation does carry out this function
- 6 it is **not applicable** because your organisation does not carry out this function

	Major risk		Minor risk		Not a risk	N/A
	Well handled	Req. attention	Well handled	Req. attention		
<i>please tick one box for each row</i>	1	2	3	4	5	6
Development applications/rezoning/ environmental planning	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Purchasing or tendering for goods for organisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Tendering or contracting for services for organisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Disposal and sale of organisational assets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Waste management or recycling	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Allocating services to the public	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Issuing licences, qualifications or certificates	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Using discretionary powers (e.g. discretionary use of spot fines)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Major risk		Minor risk		Not a risk	N/A
	Well handled	Req. attention	Well handled	Req. attention		
	1	2	3	4		
Conducting inspections/monitoring	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
Ensuring compliance with/enforcement of requirements	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
Ticket vending	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
Partnerships with the private sector (e.g. joint ventures)	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
Sponsorship arrangements	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
Grant administration	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
Revenue assessment and collection of money	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
Cash handling	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
Use of organisation's funds or bank accounts (not specifically cash)	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
Use of travel claims and travel allowance	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
Use of organisation's vehicles	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
Use of organisation's resources, materials and equipment	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
Using confidential information	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
Using the internet/email/e-commerce at work	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
How staff are recruited	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
How staff receive promotions	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
How staff are allocated work	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
How staff are managed	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
How staff treat each other	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
Interactions between clients and staff	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
How staff are dismissed or made redundant	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
How staff are accountable for time worked	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
How staff take leave	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
Staff with second jobs elsewhere	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
Post-separation employment	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶

	Major risk		Minor risk		Not a risk	N/A
	Well handled	Req. attention	Well handled	Req. attention		
	1	2	3	4		
Responding to reports of corruption	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
Record keeping	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
Political interference in organisational processes	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
How board members are appointed	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
How the board makes decisions	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
Board accountability	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
Concurrent employment/interests of board members/councillors	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
Relationship between board members/councillors and stakeholders	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
Relationship between board members/councillors and staff	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶
Corporate governance issues – not earlier mentioned (<i>please specify below</i>)	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵	<input type="checkbox"/> ⁶

(b) Please consider the activities/occurrences you rated as major corruption risks. While they may have varied from case to case, generally speaking, what were the key factors that made you decide that they were major risks (e.g. the likelihood of corruption arising from the activity/occurrence, the consequences of corruption arising from the activity/occurrence, organisational functions)?

21. (a) Indicate the extent you consider each of the following types of misconduct to be a potential corruption risk within your organisation by circling the most appropriate number.

- 1 Major corruption risk** within organisation
2 Minor corruption risk within organisation
3 Not a corruption risk within organisation
4 Don't know whether or not it is a corruption risk within organisation

	Major risk 1	Minor risk 2	Not a risk 3	Don't know 4
<i>please tick only one box for each</i>				
Forgery	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Falsification of records	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Intentional failure to document significant information	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Failure to separate authorisation and approval processes	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Improper use of information, i.e., revealing or selling it	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Plagiarism (unacknowledged use of copyrighted material)	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Perverting the course of justice/tampering with evidence	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Failure to advertise appropriately, e.g., tenders, job vacancies	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Failure to disclose or abuse of conflict of interest	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Favouritism/nepotism	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Bribery/gifts/secret commissions	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Fraud	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
False or improper invoicing	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Over-ordering of supplies	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Exceeding or breaching delegation	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Payment for work not performed	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Collusion (secret agreement for a fraudulent purpose)	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴

	Major risk 1	Minor risk 2	Not a risk 3	Don't know 4
Intentional inconsistent application of procedures	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Misuse of discretionary powers	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Misuse of public resources by a public official	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Theft of public resources by a public official	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Failure to take action if corruption is reported	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Negligence of public duty	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Harassment/victimisation/discrimination	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Sexual assault/sexual misconduct/sexual harassment	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Assault excluding sexual assault	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Threats/extortion/blackmail/undue influence	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Perjury (making a false statement under oath)	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Drug trafficking or drug use at work	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Alcohol use at work	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴
Gambling while at work	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴

(b) Please consider the misconduct types you rated as major corruption risks. While they may have varied from case to case, generally speaking, what were the key factors that made you decide that they were major risks (e.g. the likelihood of corruption arising from the misconduct type, the consequences of corruption arising from the misconduct type, organisational functions)?

22. (a) What do you see as the **most** significant corruption risk(s) within your organisation? (These may or may not be items from the lists in the previous questions.)

(b) Why do you see this/these as the most significant risk(s)?

23. (a) Hypothetically, what would be the **most** potentially damaging act(s) of corruption for your organisation? (These may or may not be items from the lists in the previous questions.)

(b) Why do you see this/these act(s) as so damaging?

24. (a) What do you see as a possible emerging corruption risk(s) for your organisation over the next 3 to 5 years? (These may or may not be items from the lists in the previous questions.)

(b) Why do you see this/these as possible emerging risk(s)?

Organisational strategies

The following questions ask about your organisation's strategies in addressing a variety of corruption risks.

25. Does your organisation have an employee(s) with designated responsibility for corruption prevention?

please tick only one box

- ¹ No
- ² Yes

26. (a) Does your organisation have a risk management process?

please tick only one box

- ¹ No **Go to Q27**
- ² Yes

(b) Are corruption risks included within it?

please tick only one box

- ¹ No
² Yes

27. Does your organisation have a fraud control plan?

please tick only one box

- ¹ No
² Yes

28. The following are topics that organisations may or may not wish to address within the context of staff management. For each area, please indicate if it is addressed by one or more of the following methods.

	Addressed by:			Not addressed	N/A
	Code of Conduct	Other policies or procedures	Staff training		
<i>please tick as many boxes as apply for each</i> Public duty responsibilities of staff	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Public duty responsibilities of senior or executive managers	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Public duty responsibilities of board members or councillors	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Discrimination and harassment	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Statement of values or principles by which your organisation operates	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Dealing with ethical dilemmas	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Interactions between clients and staff	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Handling complaints from members of the public	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Media and public statements	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Political and community participation	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵

	Addressed by:			Not addressed	N/A
	Code of Conduct	Other policies or procedures	Staff training		
Pecuniary interests/financial conflicts of interest	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Non-pecuniary interests/non-financial conflicts of interest	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Exercise of delegation/spending authorities	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Gifts and benefits	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Use of resources	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Use of internet	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Use of email	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
IT security	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Information security	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Use of confidential information	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Records management	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Identity-related fraud	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Secondary employment	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Restrictions on post-separation employment	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Alcohol and other drug use	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Reporting misconduct	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Investigating misconduct	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Protected disclosures	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Sanctions related to breaches of the Code of Conduct	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵

Code of Conduct

29. (a) Does your organisation have a Code of Conduct?

please tick only one box

¹ No **Go to Q33**

² Yes

(b) Please list any groups of people within your organisation **not** covered by the Code of Conduct (e.g. volunteers).

30. (a) Does your organisation provide training or information about the Code of Conduct to new employees at induction?

please tick only one box

¹ No

² Yes, to some employees

³ Yes, to all employees

(b) How often does your organisation provide refresher training or information to employees regarding the Code of Conduct?

please tick only one box

¹ Less than once every 5 years

² Every 2 to 5 years

³ Every 1 to 2 years

⁴ More frequently than yearly

(c) Does your organisation provide refresher training or information to staff when the Code of Conduct is revised?

please tick only one box

¹ Always

² Sometimes

³ Never

31. How often is your organisation's Code of Conduct reviewed?

please tick only one box

- ¹ Less than once every 5 years
- ² More often than once every 5 years but less often than yearly
- ³ Yearly
- ⁴ Other (*please specify*) _____

32. When was your Code of Conduct last reviewed?

please tick only one box

- ¹ Not reviewed since it was developed
- ² More than 5 years ago
- ³ 1 to 5 years ago
- ⁴ Less than 1 year ago

Gifts and benefits

33. Does your organisation's policies or procedures covering gifts and benefits provide guidance on circumstances when staff members may not accept gifts or benefits?

please tick only one box

- ¹ No
- ² Yes
- ³ Don't have gifts and benefits policies or procedures **Go to Q37**

34. Does your organisation have a gift register?

please tick only one box

- ¹ No **Go to Q37**
- ² Yes

35. Is your gift register publicly available?

please tick only one box

- ¹ No
- ² Yes

36. Please indicate whether the following gift features are required to be recorded in your gift register.

please tick as many boxes as apply

- ¹ The name of the gift recipient
- ² The name and organisation of the person offering the gift
- ³ Description of the gift
- ⁴ Estimated value of the gift
- ⁵ The decision taken in relation to the gift
- ⁶ Reasons for decision taken in relation to the gift
- ⁷ Evidence of approval (e.g. signature of authorising person)
- ⁸ Other (*please specify*) _____

Information technology and e-business strategies

37. Does your organisation have a website?

please tick only one box

- ¹ No **Go to Q39**
- ² Yes

38. Other than providing a website, does your organisation offer online or web-based services (e.g. application forms) to clients?

please tick only one box

- ¹ No
- ² Yes and we have implemented security policies regarding this
- ² Yes but we have **not** implemented security policies regarding this

39. Does your organisation have documented provisions for managing the following risks associated with the use of IT systems (e.g. computers, internet)?

please tick one box for each

	No	Yes
External attacks?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
Internal abuse by staff?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²

40. How many computers in your organisation:

please tick one box for each

	None	Few	About Half	Most	All
Are protected by a firewall?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Are protected by antivirus software with fully updated virus definitions?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Are protected by software to scan for other malicious software?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Have the ability to encrypt email and/or other documents?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵

41. Does your organisation use a program to sweep its databases for unusual activity?

please tick only one box

- ¹ No
- ² Yes

42. Do any of your organisation’s staff remotely access your organisation’s internal electronic services (e.g. checking email from outside your organisation)?

please tick only one box

- ¹ No
- ² Yes but no user authentication is performed
- ³ Yes and authentication is performed via user name and password alone
- ⁴ Yes and authentication is performed by user name and password, and additional means (e.g. node authentication)

43. (a) Do any of your organisation’s staff work from home or use your organisation’s mobile computing devices (e.g. laptops, memory sticks, portable drives)?

please tick as many boxes as apply

- ¹ No **Go to Q44**
- ² Some staff work from home
- ³ Some staff use organisation’s mobile computing devices

(b) Has your organisation informed the relevant staff about the security risks involved with these activities?

please tick only one box

¹ No

² Yes

44. (a) Does your organisation share electronic services with other organisations or access the electronic services (e.g. databases) of other organisations that are not available to the public?

please tick only one box

¹ No **Go to Q45**

² Yes, but in all cases, this commenced over three years ago **Go to Q45**

³ Yes, and in at least one case, this commenced three years ago or less

(b) In relation to this shared access:

please tick one box for each

	No	Yes
Has your organisation given partial or total control of its electronic services (e.g. alteration or deletion rights) to another organisation?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
Has your organisation received partial or total control of another organisation's electronic services (e.g. alteration or deletion rights)?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
Has your organisation identified potential risks?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²

45. How often does your organisation have information security requirements written into:

(a) contracts related to your organisation's IT assets or services?

please tick only one box

¹ Never

² Rarely

³ About half of the time

⁴ Mostly

⁵ Always

⁶ Not applicable

(b) contracts related to third party access to your organisation's electronic services?

please tick only one box

- ¹ Never
² Rarely
³ About half of the time
⁴ Mostly
⁵ Always
⁶ Not applicable

46. (a) Are your staff required to change their user passwords on a regular basis?

please tick only one box

- ¹ No **Go to Q47**
² Yes
³ Don't have passwords **Go to Q47**

(b) How often are they required to change these passwords?

Records management¹

For the following questions, "physical records" refer to hard copy/paper records and "electronic records" refer to those that are computer based.

47. What proportion of your staff receive training in:

<i>please tick one box for each</i>	None	Few	About half	Most	All
Managing physical records?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Managing electronic records?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Managing confidential information/documents?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵

¹ Some of these items were adapted from questions developed by the State Records Authority of NSW.

48. In which of the following ways does your organisation protect its physical records?

please tick as many boxes as apply

- ¹ Locking storage areas
² Controlling access to storage areas
³ Monitoring access to storage areas
⁴ Tracking which staff have possession of given records
⁵ Other (*please specify*) _____
⁶ No specified protection

49. For both physical and electronic records, does your recordkeeping system enable you to identify who has:

please tick as many boxes as apply for each

	Physical records		Electronic records	
	No	Yes	No	Yes
Created a given record?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
Possession of a given record?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
Previously had possession of a given record?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
Altered a given record?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
Accessed a given record?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
Printed a given record?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
Authorised the destruction of a given record?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ¹	<input type="checkbox"/> ²

50. (a) Does your organisation have an information security management policy covering physical and electronic records?

please tick only one box

- ¹ No **Go to Q51**
² Yes

(b) How often is the effectiveness of this policy reviewed?

please tick only one box

- ¹ Never
² Less than once every 5 years
³ Between once a year and once every 5 years
⁴ Once a year or more often

51. Which of the following does your organisation have?

please tick as many boxes as apply

- ¹ Records stored on out of date hardware (e.g. floppy disks)
- ² Electronic documents in formats that are no longer supported by the relevant software developers
- ³ Electronic records (including emails) that are inaccessible or very difficult to access
- ⁴ A system(s) in place for capturing and managing email records
- ⁵ A system(s) in place for managing non-email electronic records
- ⁶ A system for conducting regular access audits of electronic documents
- ⁷ A clear or clean computer screen policy
- ⁸ A clear or clean desk policy

52. How often are your organisation's physical files audited for location, ownership or sufficiency of records?

please tick only one box

- ¹ Never
- ² Less than once every 10 years
- ³ Every 5 to 10 years
- ⁴ Every 2 to 5 years
- ⁵ Every 1 to 2 years
- ⁶ More often than yearly

53. What steps has your organisation taken to secure its files from:

(a) Inappropriate access?

(b) Inappropriate alteration?

(c) Inappropriate deletion?

54. When staff leave your organisation, do you have procedures in place to ensure that:

<i>please tick one box for each</i>	No	Yes
They have returned all organisational documents?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
They no longer have access to electronic resources?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
Access cards and keys are returned?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²
Responsibility for documents they worked on is transferred to another person?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²

55. (a) Which documents that can be used for the purposes of proof of identity does your organisation **create**?

please tick as many boxes as apply

- ¹ Birth, death or marriage certificates
- ² Licenses containing a signature and/or photograph
- ³ Identification cards (e.g. student, benefit or unemployment)
- ⁴ Rates or utilities notices
- ⁵ Educational records
- ⁶ Trade certificates
- ⁷ Professional association memberships
- ⁸ Employment verification letters
- ⁹ Reference from ATSI organisation
- ¹⁰ Proof of electoral enrolment
- ¹¹ Other (*please specify*) _____
- ¹² None **Go to Q56**

(b) How many of these contain security/identification features to help detect and prevent fraudulent features (e.g. artificial watermarks, micro-printing, document identification numbers)?

please tick only one box

- ¹ None
- ² Few
- ³ About half
- ⁴ Most
- ⁵ All

(c) What type of steps does your organisation take to authenticate the identity of applicants for these documents?

56. Which of the following documents does your organisation **request** for the purpose of proof of identification?

please tick as many boxes as apply

- ¹ Birth, death or marriage certificates
- ² Licenses containing a signature and/or photograph
- ³ Identification cards (e.g. student, benefit or unemployment)
- ⁴ Rates or utilities notices
- ⁵ Educational records
- ⁶ Trade certificates
- ⁷ Professional association memberships
- ⁸ Employment verification letters
- ⁹ Reference from ATSI organisation
- ¹⁰ Proof of electoral enrolment
- ¹¹ Other (*please specify*) _____
- ¹² None

Recruitment and information for staff members

57. Is it standard practice for your organisation to include comments or questions on ethical work practices in any of the following?

	No	Yes	
		Not compulsory to do so	Compulsory to do so
<i>please tick one box for each</i>			
Job advertisements	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Job descriptions	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Job selection criteria	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Job interview questions	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Performance assessments	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Other (<i>please specify below</i>)	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³

58. What proportion of staff members who sit on in internal recruitment panels are provided with training concerning ethical issues involving recruitment (e.g. conflicts of interest)?

please tick only one box

- ¹ None
- ² Few
- ³ About half
- ⁴ Most
- ⁵ All

59. For each of the following, please indicate whether your organisation provides staff with information and, if so, how this information is provided:

	No	Yes	How information is provided
Corruption risks associated with their work	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	_____ _____ _____
Corruption prevention strategies	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	_____ _____ _____

	No	Yes	How information is provided
Ethical work practices	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	_____

What constitutes their public duty	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	_____

What a conflict of interest is and what to do when one arises	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	_____

Importance of ethical leadership	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	_____

Audit procedures

60. How are your organisation’s finances audited?

please tick only one box

- ¹ Externally audited only
- ² Internally audited only
- ³ Both internally and externally audited
- ⁴ Finances are not audited **Go to Q66**

61. Does your organisation have an audit plan?

please tick only one box

- ¹ No
- ² Yes

62. (a) Does your organisation have an audit charter?

please tick only one box

- ¹ No **Go to Q63**
- ² Yes

(b) Does the audit charter specifically address probity issues?

please tick only one box

¹ No

² Yes

63. (a) Does your organisation have an internal auditor?

please tick only one box

¹ No **Go to Q64**

² Yes

(b) To which position does the internal auditor report for the purpose of:

(i) administration? _____

(ii) providing findings of audits? _____

64. (a) Does your organisation have an audit committee?

please tick only one box

¹ No **Go to Q66**

² Yes

(b) Is the chair of the audit committee independent of your organisation?

please tick only one box

¹ No

² Yes

(c) How many non-chair members of the audit committee are independent of your organisation?

please tick only one box

¹ None

² One

³ Two

⁴ More than two

65. (a) How often does the audit committee meet?

please tick only one box

- ¹ Monthly or more often
² 4-6 times a year
³ 2-3 times a year
⁴ Once a year
⁵ Less often than once a year

(b) How often does the audit committee meet with external auditors as part of audit committee meetings?

please tick only one box

- ¹ Never
² Less often than once per year
³ Once per year
⁴ More often than once per year (*please specify how often*)_____

(c) Are recommendations provided by the internal audit committee passed on to the executive?

please tick only one box

- ¹ Always
² Most of the time
³ Sometimes
⁴ Rarely
⁵ Never

(d) Is the executive obliged to act upon these recommendations?

please tick only one box

- ¹ No
² Yes, but it depends upon the recommendation
³ Yes, for all recommendations

(e) Is there a mechanism by which the audit committee can review the implementation of its recommendations (e.g. recommendations are placed on the agenda at senior executive meetings)?

please tick only one box

- ¹ No **Go to Q66**
² Yes

(f) Please describe the mechanism referred to in (e).

Contracting, procurement and outsourcing

66. In relation to contracting and procurement involving a signed contract or agreement, does your organisation:

please tick one box for each

	Never	Sometimes	Always
Have internal control mechanisms to ensure that procedures for managing site inspections and variations are adhered to?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Keep a continuous record of expenditure on each contract?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Record any problems encountered with the contractor?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Send information to potential contractors about your organisation's ethical standards and the ethical standards it expects from contractors?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Include a statement of business ethics (or similar) as a standard term in contracts?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Include a clause which gives your organisation the right to terminate a contract if the contractor fails to abide by the your organisation's statement of business ethics?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Include explicit criteria for evaluating competing suppliers?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Include scoring methodology (e.g. weightings) for any criteria used?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³
Check for conflicts of interest?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³

67. What proportion of contractors:

please tick one box for each

	None	Few	About half	Most	All
Undergo background checks?	<input type="checkbox"/> ¹	<input type="checkbox"/> ²	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵
Sign confidentiality agreements?	<input type="checkbox"/> ¹	<input type="checkbox"/> ³	<input type="checkbox"/> ³	<input type="checkbox"/> ⁴	<input type="checkbox"/> ⁵

68. (a) How many times has your organisation conducted direct negotiations (i.e. absence of a competitive selection) for procurements valued at over \$100,000 in the past 5 years?

please tick only one box

- ¹ Never **Go to Q69**
- ² Once
- ³ 2 to 5 times
- ⁴ More than 5 times (*please specify number*) _____

(b) What goods or services were these direct negotiations for?

Reporting Corruption

69. Prior to this survey had you heard of the *Protected Disclosures Act 1994*?

please tick only one box

- ¹ No **Go to Q71**
- ² Yes

70. How does your organisation inform your staff about details of making Protected Disclosures?

please tick as many boxes as apply

- ¹ Staff are not specifically informed about them
- ² Induction training
- ³ Other training
- ⁴ Publications (e.g. pamphlets and brochures)
- ⁵ Relevant policies and procedures
- ⁶ Code of Conduct
- ⁷ Mail or email
- ⁸ Other (*please specify*) _____

71. Does your organisation have an internal reporting procedure?

please tick only one box

- ¹ No **Go to Q73**
- ² Yes, but Protected Disclosures cannot be made using it **Go to Q73**
- ³ Yes, and Protected Disclosures can be made using it

72. How does your organisation's internal reporting procedure allow Protected Disclosures to be made?

please tick as many boxes as apply

- ¹ In writing
- ² Verbally
- ³ Via telephone
- ⁴ Anonymously
- ⁵ Other (*please specify*) _____

73. Does your organisation have an internal investigation capability?

please tick only one box

- ¹ No
- ² Yes

74. (a) Does your organisation have an obligation to report suspected corrupt conduct to the ICAC under Section 11 of the ICAC Act?

please tick only one box

- ¹ No **Go to Q75**
² Yes
³ Unsure **Go to Q75**

- (b) Is the procedure for making a report to the ICAC documented in your organisation's written policies and procedures?

please tick only one box

- ¹ No
² Yes (*please specify the policy*) _____

Relationship with the ICAC

75. Prior to receiving this survey, were you aware that that your organisation can seek advice from the ICAC?

please tick only one box

- ¹ No **Go to Q77**
² Yes

76. Has your organisation ever formally sought advice from the ICAC?

please tick only one box

- ¹ No
² Yes

77. Approximately, how many times have you accessed information or reports from the ICAC website within the last 12 months?

please tick as many boxes as apply

- ¹ Never
² Once
³ 2 to 5 times
⁴ 6 to 10 times
⁵ More than 10 times

78. In what areas would you like more help from the ICAC?

79. If the ICAC could do **one** thing to assist you in minimising corruption within your organisation, what would that be?

80. What do you consider to be your organisation's main strengths in minimising corruption?

81. What do you consider to be your organisation's greatest corruption challenges?

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