

# Profiling the NSW Public Sector 2007: Understanding and Managing Corruption Risks

STAFF SURVEY

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Public sector organisations are welcome to refer to this publication in their own publications. References to and all quotations from this publication must be fully referenced.

APRIL 2007

## ***Introduction***

### **Purpose of study:**

The Independent Commission Against Corruption (ICAC) is researching corruption risks and risk management within the public sector. One questionnaire is being sent to the Chief Executives of several hundred public sector organisations, including yours. A second questionnaire has been sent to approximately 1200 randomly selected employees from approximately 30 public sector organisations. You are one of these randomly selected employees.

### **Your response is valued**

No matter what your job is or the size or functions of your organisation, your responses are important to the ICAC. Answers from a broad range of people helps ensure that the responses accurately reflect those of the whole NSW public sector. This helps us have an understanding of corruption risks and their management from a range of perspectives across the public sector.

### **What if I don't know the answers?**

Please answer each question the best you can. If you do not know the answer, **don't look up the answers or ask other staff**. Instead, please select 'don't know' or 'not sure' as this is a valuable response for us.

### **Anonymity and Confidentiality**

Your name and the name of your organisation will **not** be identified in any reports from this survey. When reporting results, they will be grouped by general type of agency and neither you nor your agency's involvement will be mentioned. Please **do not put your name on the survey**.

### **General instructions**

For most of the questions please tick the response(s) that best reflect(s) your views. Specific instructions are provided with some questions.

**Please complete this survey and return** it in the enclosed reply paid self-addressed envelope within **2 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.**

## ***You and your organisation***

1. My organisation is...

*please tick only 1 box*

- <sup>1</sup> A government department
- <sup>2</sup> A state owned corporation
- <sup>3</sup> A university
- <sup>4</sup> An area health service
- <sup>5</sup> A local council
- <sup>6</sup> Other
- <sup>7</sup> Don't know

2. How many locations does your organisation have?

*please tick only 1 box*

- <sup>1</sup> 1 location...*Go to Q4*
- <sup>2</sup> 2-5 locations
- <sup>3</sup> 6-10 locations
- <sup>4</sup> 11-100 locations
- <sup>5</sup> 101-1000 locations
- <sup>6</sup> More than 1000 locations
- <sup>7</sup> Don't know

3. Do you work in your organisation's head office?

*please tick only 1 box*

- <sup>1</sup> Yes
- <sup>2</sup> No
- <sup>3</sup> Don't know

## 4. Approximately how many people work in your organisation?

*please tick only 1 box*

- <sup>1</sup> Less than 100
- <sup>2</sup> 101-500
- <sup>3</sup> 501-999
- <sup>4</sup> 1,000-9999
- <sup>5</sup> 10,000 or more employees
- <sup>6</sup> Don't know

## 5. Please describe the population of the town/city where your organisation is located (or the head office of your organisation if it has multiple locations):

*please tick only 1 box*

- <sup>1</sup> More than 500,000 people
- <sup>2</sup> 50,000 to 500,000 people
- <sup>3</sup> 30,000 to 50,000 people
- <sup>4</sup> Less than 30,000 people
- <sup>5</sup> Don't know

## 6. Your organisation functions across:

*please tick only 1 box*

- <sup>1</sup> The whole of NSW
- <sup>2</sup> A region of NSW
- <sup>3</sup> Don't know

## 7. (a) What is your employment status?

*please tick only 1 box*

- <sup>1</sup> Full-time permanent...Go to Q8
- <sup>2</sup> Full-time temporary/casual...Go to Q8
- <sup>3</sup> Part-time permanent
- <sup>4</sup> Part-time temporary/casual

(b) How many days per week do you typically work? \_\_\_\_\_

8. How much do you earn? (If you are paid an hourly rate, hourly rates equivalent to the full-time salaries are presented in parentheses.)

*please tick only 1 box*

- <sup>1</sup> <\$35,000 (<\$18.28/hr)  
<sup>2</sup> \$35,000-\$54,999 (\$18.29/hr - \$28.72/hr)  
<sup>3</sup> \$55,000-\$85,000 (\$28.73/hr - \$44.39/hr)  
<sup>4</sup> >\$85,000 (>\$44.39/hr)

9. (a) Do you supervise other employees?

*please tick only 1 box*

- <sup>1</sup> Yes  
<sup>2</sup> No... *Go to Q10*

- (b) How many employees do you *directly* supervise?

*please tick only 1 box*

- <sup>1</sup> 1-5  
<sup>2</sup> 6-20  
<sup>3</sup> 21-50  
<sup>4</sup> Over 50

- (c) How many employees are you responsible for *in total*?

*please tick only 1 box*

- <sup>1</sup> 1-5  
<sup>2</sup> 6-20  
<sup>3</sup> 21-50  
<sup>4</sup> Over 50

10. How long have you been with your current organisation?

*please tick only 1 box*

- <sup>1</sup> Joined within the last year *Go to Q12*  
<sup>2</sup> 1-5 years  
<sup>3</sup> 6-10 years  
<sup>4</sup> 11-20 years  
<sup>5</sup> More than 20 years

11. Has the way you do your work been altered as a result of the following changes to your organisation within the last three years?

<i>please tick only 1 box for each</i>	<b>Yes</b>	<b>No</b>
Organisational restructure or downsizing	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>
Privatisation of organisation's functions	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>
Outsourcing of organisation's functions	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>
A change to a profit-driven focus	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>
A change to the provision of marketable services	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>
Organisation being placed under administration	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>
Merging with another organisation	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>
Splitting from another organisation	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>

12. How important are public sector rules, policies and guidelines to what you do?

*please tick only 1 box*

- <sup>1</sup> Very important
- <sup>2</sup> Important
- <sup>3</sup> Neither important nor unimportant
- <sup>4</sup> Unimportant
- <sup>5</sup> Very unimportant

### ***Corruption Risks***

13. Please indicate if you or the people you work with *on a daily basis* perform any of the following functions (on behalf of your organisation) using the key provided below.

- 1 To my knowledge, none of us perform this function.**
- 2 Some of us perform this function and use specific policies and/or procedures to do so.**
- 3 Some of us perform this function but do not use specific policies or procedures.**

<i>please tick only 1 box for each</i>	<b>1</b>	<b>2</b>	<b>3</b>
Inspects, regulates or monitors standards of premises, businesses, equipment or products (e.g., inspecting health or safety standards)	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Has discretion concerning land rezoning or development applications	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Makes determinations/hands down judgements about individuals or disputes (e.g. preside over hearings, court matters)	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>

- 1 To my knowledge, none of us perform this function.**  
**2 Some of us perform this function and use specific policies and/or procedures to do so.**  
**3 Some of us perform this function but do not use specific policies or procedures.**

*please tick only 1 box for each*

	<b>1</b>	<b>2</b>	<b>3</b>
Tests blood, urine or other bodily samples from people or animals (e.g. drug testing, forensic testing)	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Issues qualifications or licences to individuals to indicate their proficiency or enable them to undertake certain types of activities (e.g. educational qualifications, competency qualifications, fishing licences, driver's licence)	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Issues, or reviews the issue of, fines or other sanctions	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Allocates grants of public funds	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Receives cash payments (e.g. admission fees, school excursions, shop sales, fines)	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Sells tickets (e.g. for public transport, admission passes)	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Provides a service to the community where demand frequently exceeds supply (e.g. allocation of hospital beds, allocation of accommodation)	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Provides subsidies, financial assistance, concessions or other relief to those in need (e.g. for accommodation, transport, utilities)	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Provides assistance or care to the vulnerable or disabled (e.g. home or institutional care, guardianship, financial management)	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Provides a service to new immigrants (e.g. driver's licence, accommodation)	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Undertakes construction (e.g. buildings or infrastructure)	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Have regular dealings with the private sector <i>other than</i> for the routine purchasing goods and services (e.g. strong commercial interface)	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>

14. Please consider the following types of misconduct. Indicate the extent you consider each is a problem within your organisation.

- 1 Major problem within organisation**  
**2 Minor problem within organisation**  
**3 Is a problem within organisation but not sure how serious**  
**4 Not a problem within organisation**  
**5 Don't know**

<b>please tick only 1 box for each</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Forgery	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Falsification of records	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Intentional failure to document significant information	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Failure to separate authorisation and approval processes	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Improper use of information, i.e., revealing or selling it	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Plagiarism (unacknowledged use of copyrighted material)	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Perverting the course of justice/tampering with evidence	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Failure to advertise appropriately, e.g., tenders, job vacancies	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Failure to disclose/abuse of a conflict of interest	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Favouritism/nepotism	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Bribery/gifts/secret commissions	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Fraud	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
False/Improper invoicing	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Over-ordering of supplies	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Exceeding/breaching delegation	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Payment for work not performed	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Collusion (secret agreement for a fraudulent purpose)	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Intentional inconsistent application of procedures	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Misuse of discretionary powers	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Misuse of public resources by a public official	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Theft of public resources by a public official	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>



- 1 Major problem within organisation**
- 2 Minor problem within organisation**
- 3 Is a problem within organisation but not sure how serious**
- 4 Not a problem within organisation**
- 5 Don't know**

*please tick only 1 box for each*

	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Failure to take action if corruption is reported	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Negligence of public duty	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Harassment/victimisation/ discrimination	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Sexual assault/sexual misconduct/sexual harassment	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Assault (non-sexual)	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Threats/extortion/blackmail/undue influence	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Perjury (making a false statement under oath)	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Drug trafficking or drug use at work	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Alcohol use at work	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
Gambling while at work	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>

15. (a) What do you see as the most significant corruption risk(s) within your organisation? (This may or may not be from the list above.)

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

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16. (a) What would be the most potentially damaging act(s) of corruption for your organisation?

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(b) Why do you see this act/these acts as potentially damaging?

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17. (a) What do you see as a possible emerging corruption risk(s) for your organisation over the next 3 to 5 years?

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

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## Organisational Strategies

### Code of Conduct

18. Does your organisation have a Code of Conduct?

*please tick only 1 box*

- <sup>1</sup> Yes
- <sup>2</sup> No...Go to Q22
- <sup>3</sup> Don't know...Go to Q22

19. Please indicate which of the following apply in relation to your organisation's Code of Conduct.

<b>please tick one box for each</b>	<b>Yes</b>	<b>No</b>	<b>Not Sure</b>
I have received an electronic copy	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
I have received a paper copy	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
I was required to <i>sign</i> that I had received it	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
It is available on my organisation's intranet	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
I have read it	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
I was required to <i>sign</i> that I had read it	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
I have received induction training about it	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
I have received additional training about it	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
I was required to sign that I had understood it	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
I have used/referred to it	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
I have been involved in revising it	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>

20. (a) Do you think that your organisation's Code of Conduct could be improved?

*please tick only 1 box*

- <sup>1</sup> Yes
- <sup>2</sup> No...Go to Q21
- <sup>3</sup> Don't know...Go to Q21

(b) How could it be improved?

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21. (a) Do you consider your organisation's Code of Conduct to be useful?

*please tick only 1 box*

- <sup>1</sup> Yes
- <sup>2</sup> No
- <sup>3</sup> Don't know...Go to Q22

(b) Please explain why it is/is not useful?

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### **Gifts and Benefits**

22. Has your organisation provided you with guidance about accepting gifts?

*please tick only 1 box*

- <sup>1</sup> Yes and the guidance is clear
- <sup>2</sup> Yes but the guidance is unclear
- <sup>3</sup> No
- <sup>4</sup> Don't know

23. If someone offered you a gift in relation to your work, what steps would you take to determine whether or not it was appropriate to accept it?

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24. As an employee performing your duties, have you ever been offered a gift that you felt was designed to influence your professional judgment (whether or not you accepted the gift or the offer influenced your judgment)?

*please tick only 1 box*

- <sup>1</sup> Yes  
<sup>2</sup> No  
<sup>3</sup> Don't know

25. Does your organisation have a gift register?

*please tick only 1 box*

- <sup>1</sup> Yes  
<sup>2</sup> No  
<sup>3</sup> Don't know

## Information Technology

26. Do you have access to your organisation's internal electronic services (e.g. email, intranet, computer facilities)?

*please tick only 1 box*

- <sup>1</sup> Yes and a password is required  
<sup>2</sup> Yes but a password is not required... *Go to Q30*  
<sup>3</sup> No...*Go to Q31*  
<sup>4</sup> Don't know...*Go to Q31*

27. Is your user name and password the same as other employees (e.g. you share a log-in ID)?

*please tick only 1 box*

- <sup>1</sup> Yes
- <sup>2</sup> No
- <sup>3</sup> Don't know

28. (a) Are you required to change your log-in/user password on a regular basis?

*please tick only 1 box*

- <sup>1</sup> Yes
- <sup>2</sup> No...Go to Q29
- <sup>3</sup> Don't know...Go to Q29

(b) How often are you required to change it?

*please tick only 1 box*

- <sup>1</sup> Once a month or more often
- <sup>2</sup> Less often than once a month and up to once every 3 months
- <sup>3</sup> Less often than once every 3 months and up to once every 6 months
- <sup>4</sup> Less often than once every 6 months and up to once a year
- <sup>5</sup> Less often than once a year
- <sup>6</sup> Don't know

29. In your experience, how often do staff members that you work with *on a daily basis* log in as users other than themselves?

*please tick only 1 box*

- <sup>1</sup> Very frequently
- <sup>2</sup> Frequently
- <sup>3</sup> Neither frequently nor infrequently
- <sup>4</sup> Infrequently
- <sup>5</sup> Very Infrequently
- <sup>6</sup> Never
- <sup>7</sup> Don't know

30. Please indicate if any of the following apply to you.

<b>please tick one box for each</b>	<b>Yes</b>	<b>No</b>	<b>Not Sure</b>
I have remote access to some of my organisation's internal electronic services (this includes remote email access).	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
As a result of my work, I have access to another organisation's internal electronic services (e.g. other organisations' databases).	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
I feel confident in my understanding of my organisation's IT security requirements.	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>

## Records management<sup>1</sup>

31. What are your organisation's requirements regarding retaining emails that have business value to your organisation?

*please tick as many as apply*

- <sup>1</sup> Not aware of any requirement to retain them.
- <sup>2</sup> We are required to retain them but I don't know how.
- <sup>3</sup> Required to keep them in the Inbox.
- <sup>4</sup> Required to transfer them to another email folder.
- <sup>5</sup> Required to *note* them in an electronic records system (e.g. TRIM).
- <sup>6</sup> Required to *save* them to an electronic records system (e.g. TRIM).
- <sup>7</sup> Required to print them out and store them in a physical file.
- <sup>8</sup> Other (please specify) \_\_\_\_\_

32. When was the last audit of the physical files used by you and the people you work with *on a daily basis*? (This audit may include location, ownership or sufficiency of records.)

*please tick only 1 box*

- <sup>1</sup> Within the last 3 months
- <sup>2</sup> Within the last year but not within the last 3 months
- <sup>3</sup> Within the last 5 years but not within the last year
- <sup>4</sup> More than 5 years ago
- <sup>5</sup> Don't know

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

33. How often do you or the people you work with *on a daily basis* create *proof of identity* documents? Examples are birth /death/marriage certificates, licenses containing a signature/photo, ID cards, rates/utilities notices, educational records, trade certificates, professional association memberships, employment verification letters, references from ATSI organisations and proofs of electoral enrolment.

*please tick only 1 box*

- <sup>1</sup> Very often
- <sup>2</sup> Often
- <sup>3</sup> Neither rarely nor often
- <sup>4</sup> Rarely
- <sup>5</sup> Very Rarely
- <sup>6</sup> Never

34. (a) In your experience, how secure from inappropriate access, alteration or destruction do you think your organisation’s records are?

<i>please tick one box for each</i>	<b>Very Secure</b>	<b>Secure</b>	<b>Neither secure nor insecure</b>	<b>Insecure</b>	<b>Very Insecure</b>	<b>Not Sure</b>
Inappropriate access	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>	<input type="checkbox"/> <sup>6</sup>
Inappropriate alteration	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>	<input type="checkbox"/> <sup>6</sup>
Inappropriate deletion	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>	<input type="checkbox"/> <sup>6</sup>

(b) Please explain the reasons for your responses in (a).

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## Recruitment

35. Have you been involved in a recruitment panel(s) for your organisation or another public sector organisation?

*please tick only 1 box*

- <sup>1</sup> Yes
- <sup>2</sup> No...Go to Q38
- <sup>3</sup> Don't know...Go to Q38

36. Were you informed of the ethical issues that may arise while participating in recruitment panel (e.g. conflicts of interest)?

*please tick only 1 box*

- <sup>1</sup> Yes and I felt the coverage was sufficient
- <sup>2</sup> Yes but I felt the coverage was insufficient
- <sup>3</sup> No
- <sup>4</sup> Don't know

37. In your experience, is 'commitment to ethical work practices' (or equivalent) typically a selection criterion for positions at your organisation?

*please tick only 1 box*

- <sup>1</sup> Yes, always
- <sup>2</sup> Yes, typically but not always
- <sup>3</sup> No
- <sup>4</sup> Don't know

**Procurement**

38. How often have you been involved in purchasing goods or services on behalf of your organisation?

*please tick only 1 box*

- <sup>1</sup> Very often
- <sup>2</sup> Often
- <sup>3</sup> Sometimes
- <sup>4</sup> Rarely...Go to Q41
- <sup>5</sup> Very rarely...Go to Q41
- <sup>6</sup> Never...Go to Q41
- <sup>7</sup> Don't know...Go to Q41

39. For each type of procurement below, have you found your organisation's procedures straightforward to use?

<i>please tick one box for each</i>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
Procurement involving formal tendering	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Procurement involving obtaining quotations from multiple suppliers (other than tendering)	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Procurement where direct negotiations are used in lieu of formal tendering or obtaining multiple quotations	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Minor/ low value procurements	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>

40. In your experience, how often does your organisation check for conflicts of interest when engaging in procurement?

- 1 Always**
- 2 Often**
- 3 Sometimes**
- 4 Rarely**
- 5 Never**
- 6 Not sure**

*please tick one box for each*

	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
Procurement involving formal tendering	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>	<input type="checkbox"/> <sup>6</sup>
Procurement involving obtaining of quotations from multiple suppliers (other than tendering)	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>	<input type="checkbox"/> <sup>6</sup>
Procurement where direct negotiations are used in lieu of formal tendering or obtaining multiple quotes	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>	<input type="checkbox"/> <sup>6</sup>
Minor/ low value procurements	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>	<input type="checkbox"/> <sup>6</sup>

## Reporting misconduct

41. Does your organisation have a channel for internal reporting of misconduct or staff wrongdoing?

*please tick only 1 box*

- <sup>1</sup> Yes and I know how to use it
- <sup>2</sup> Yes and, while I would need to check how to use it, I know where to look
- <sup>3</sup> Yes but I don't know how to use it or where to look
- <sup>4</sup> No
- <sup>5</sup> Don't know

42. Had you heard of the *Protected Disclosures Act* prior to this survey?

*please tick only 1 box*

- <sup>1</sup> Yes
- <sup>2</sup> No
- <sup>3</sup> Don't know

43. (a) Do you know who you could make a Protected Disclosure to in your organisation?

*please tick only 1 box*

- <sup>1</sup> Yes
- <sup>2</sup> No...Go to Q44

(b) Please indicate the position(s) that you can make a Protected Disclosure to:

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44. Do you know where to find the information about who to make a Protected Disclosure to?

*please tick only 1 box*

- <sup>1</sup> Yes
- <sup>2</sup> No

45. For each of the following statements, please indicate the extent to which you agree or disagree with it.

- 1 Strongly agree**
- 2 Agree**
- 3 Neither agree nor disagree**
- 4 Disagree**
- 5 Strongly disagree**

*please tick one box for each*

	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
My organisation has properly explained to me what a Protected Disclosure is and how to make one	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
My organisation has properly explained to me the protections I have if I make a Protected Disclosure	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
My organisation encourages employees to report corruption or employee wrongdoing	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>
My organisation would do something appropriate if I reported corruption	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>4</sup>	<input type="checkbox"/> <sup>5</sup>

**Conflicts of Interest**

46. What do you think a Conflict of Interest is?

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47. If you wished to declare a Conflict of Interest, how would you do so?

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48. (a) In your experience, has there been an occasion(s) when a person did not declare a Conflict of Interest but you felt that he or she should have?

*please tick only 1 box*

- <sup>1</sup> Yes, they should have declared
- <sup>2</sup> Maybe, I was concerned it was a conflict of interest but was not really sure
- <sup>3</sup> No
- <sup>4</sup> Don't know

(b) Please provide additional comment on your answer above if you feel it is appropriate to do so.

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## Policies and training

49. Please indicate whether your organisation has provided you with information on each of the following.

<b>please tick one box for each</b>	<b>Yes</b>	<b>No</b>	<b>Not Sure</b>
Corruption risks associated with your work	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Corruption prevention strategies	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Ethical work practices	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
What constitutes public duty	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Importance of ethical leadership	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Other corruption related information	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>

50. For each of the following areas, please indicate if (i) your organisation has a policy specifically addressing the issue and (ii) you have received training in this area. (If you have received both formal training and informal guidance please tick both boxes.)

<b>please tick as many as apply for each</b>	<b>(i) <u>Policy</u></b>			<b>(ii) <u>Training</u></b>		
	<b>Yes</b>	<b>No</b>	<b>Don't know</b>	<b>Formal</b>	<b>Informal</b>	<b>None</b>
Discrimination and harassment	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Handling complaints from members of the public	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Media and public statements	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Political and community participation	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Interactions between clients and staff	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Conflicts of interest	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Secondary employment	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Restrictions on post-separation employment	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Recruitment	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Use of employee benefits (e.g. leave, travel allowances)	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>

	<i>(i) Policy</i>			<i>(ii) Training</i>		
	<i>Yes</i>	<i>No</i>	<i>Don't know</i>	<i>Formal</i>	<i>Informal</i>	<i>None</i>
<b>please tick as many as apply for each</b>						
Use of organisation's resources	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Procurement and disposal	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Gifts and benefits	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Use of confidential information	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Use of email	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Use of internet	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
IT Security	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Information security	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Records management	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Alcohol and other drug use	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Reporting misconduct	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>

### ***Relationship with the ICAC***

51. Please indicate whether your organisation has told you:

<b>please tick one box for each</b>	<i>Yes</i>	<i>No</i>	<i>Not Sure</i>
That the ICAC exists	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
That you can report corruption to the ICAC	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
That you can request corruption prevention advice from the ICAC.	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>

52. Have you ever:

<b>please tick one box for each</b>	<b>Yes</b>	<b>No</b>	<b>Not Sure</b>
Accessed information or reports from the ICAC website	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Participated in a training session run by the ICAC	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Read ICAC material	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Asked the ICAC for corruption prevention advice.	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Made a report to the ICAC	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>
Been involved in an ICAC investigation (e.g. made a statement, asked to produce documents)	<input type="checkbox"/> <sup>1</sup>	<input type="checkbox"/> <sup>2</sup>	<input type="checkbox"/> <sup>3</sup>

53. Are there any comments you wish to make about the ICAC?

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**Additional Comments**

54. Please make any additional comments about corruption, corruption risks or corruption prevention strategies within the NSW public sector that you think are relevant.

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**Thank you for completing this questionnaire. Please return it in the envelope provided.**