

Annual Report Compliance Checklist

updated September 2019

Requirement	Departments		Statutory Bodies	
Letter of Submission	ARDA s11A	<ul style="list-style-type: none"> Stating report submitted to Minister for presentation to Parliament Provisions under which report prepared If applicable, length of lateness in submitting report and reasons If no application for extension, reasons for lateness and lack of application To be signed by Department Head 	ARSBA s9A	<ul style="list-style-type: none"> Stating report submitted to Minister for presentation to Parliament Provisions under which report prepared If applicable, length of lateness in submitting report and reasons If no application for extension, reasons for lateness and lack of application To be signed by 2 members of statutory body or, if without members, by the CEO
Application for extension of time	ARDA s16(5)	<ul style="list-style-type: none"> Where an extension of time has been granted, particulars of that extension 	ARSBA s13(5)	<ul style="list-style-type: none"> Where an extension of time has been granted, particulars of that extension
Charter	ARDR Sch.1	<ul style="list-style-type: none"> Manner in which and purpose for which agency was established Principal legislation administered within department 	ARSBR Sch.1	<ul style="list-style-type: none"> Manner in which and purpose for which agency was established Principal legislation under which statutory body operates
Aims and objectives	ARDR Sch.1	<ul style="list-style-type: none"> What department sets out to do Range of services provided Clientele/community served 	ARSBR Sch.1	<ul style="list-style-type: none"> What statutory body sets out to do Range of services provided Clientele/community served
Access	ARDR Sch.1	<ul style="list-style-type: none"> Address of principal office/s Telephone number of principal office/s Business & service hours 	ARSBR Sch.1	<ul style="list-style-type: none"> Address of principal office/s Telephone number of principal office/s Business & service hours
Management and structure	ARDR Sch.1	<ul style="list-style-type: none"> Names, offices and qualifications of principal officers Organisation chart indicating functional responsibilities 	ARSBR Sch.1	<ul style="list-style-type: none"> Names of members and their qualifications Method and term of appointment of board members Frequency of meetings and members' attendance at meetings Names, offices and qualifications of senior officers Organisation chart indicating functional responsibilities
Summary review of operations	ARDR Sch.1	<ul style="list-style-type: none"> Narrative summary of significant operations Financial and other quantitative information for programs or operations 	ARSBR Sch.1	<ul style="list-style-type: none"> Narrative summary of significant operations Financial and other quantitative information for programs or operations
Funds granted to non-government community organisations	ARDR Sch.1	<ul style="list-style-type: none"> Name of recipient organisation Amount of grant Program area as per Budget paper Program as per Budget paper 	ARSBR Sch.1	<ul style="list-style-type: none"> Name of recipient organisation Amount of grant Program area as per Budget paper Program as per Budget paper
Legal Change	ARDR Sch.1; ARDA s11(1)(f)	<ul style="list-style-type: none"> Changes in Acts and subordinate legislation Significant judicial decisions affecting agency or users of its services 	ARSBR Sch.1; ARSBA s9(1)(f)	<ul style="list-style-type: none"> Changes in Acts and subordinate legislation Significant judicial decisions affecting agency or users of its services
Economic or other factors	ARDR Sch.1	Affecting achievement of operational objectives	ARSBR Sch.1	Affecting achievement of operational objectives
Management and activities	ARDR Sch.1	<ul style="list-style-type: none"> Describe nature and range of activities If practicable, qualitative and quantitative performance measures showing efficiency and effectiveness 	ARSBR Sch.1	<ul style="list-style-type: none"> Describe nature and range of activities If practicable, qualitative and quantitative performance measures showing efficiency and effectiveness

Requirement	Departments		Statutory Bodies	
		<ul style="list-style-type: none"> Nature and extent of internal and external performance reviews conducted and resulting improvements in achievements Benefits from mgt. and strategy reviews Management improvement plans and achievements reaching previous targets Major problems and issues which arose Major works in progress, cost to date, dates of completion, significant cost overruns or delays / amendments / deferments / cancellations 		<ul style="list-style-type: none"> Nature and extent of internal and external performance reviews conducted and resulting improvements in achievements Benefits from mgt. and strategy reviews Management improvement plans and achievements reaching previous targets Major problems and issues which arose Major works in progress, cost to date, dates of completion, significant cost overruns or delays / amendments / deferments / cancellations
Research and development	ARDR Sch.1	<ul style="list-style-type: none"> Completed and continuing research and developmental activities including resources allocated Unless will adversely affect business 	ARSBR Sch.1	<ul style="list-style-type: none"> Completed and continuing research and developmental activities including resources allocated Unless will adversely affect business
Human resources	ARDR Sch.1	<ul style="list-style-type: none"> Number of officers and employees by category & compared to prior three years Exceptional movements in wages, salaries or allowances Personnel policies & practices Industrial relations policies & practices 	ARSBR Sch.1	<ul style="list-style-type: none"> Number of officers and employees by category & compared to prior three years Exceptional movements in wages, salaries or allowances Personnel policies & practices Industrial relations policies & practices
Consultants	ARDR Sch.1	<ul style="list-style-type: none"> For each engagement costing equal to or greater than \$50,000: <ul style="list-style-type: none"> Name of consultant Title of project (shown in a way that identifies the nature of the work) Actual costs For engagements costing less than \$50,000: <ul style="list-style-type: none"> Total number of engagements Total cost Or a statement that no consultants used 	ARSBR Sch.1	<ul style="list-style-type: none"> For each engagement costing equal to or greater than \$50,000: <ul style="list-style-type: none"> Name of consultant Title of project (shown in a way that identifies the nature of the work) Actual costs For engagements costing less than \$50,000: <ul style="list-style-type: none"> Total number of engagements Total cost Or a statement that no consultants used
Workforce Diversity	PSC Circular 2014-09 ARDR Sch.1	<ul style="list-style-type: none"> Departments must report statistics for both the representation and distribution of employees in diversity groups, in the same format as the report provided to each agency by the Public Service Commission Additionally, Departments must report on the workforce diversity achievements during the reporting year and the key workforce diversity strategies proposed for the following year 	PSC Circular 2014-09 ARSBR Sch.1	<ul style="list-style-type: none"> Statutory bodies must report statistics for both the representation and distribution of employees in diversity groups, in the same format as the report provided to each agency by the Public Service Commission Additionally, statutory bodies must report on the workforce diversity achievements during the reporting year and the key workforce diversity strategies proposed for the following year Universities which are prescribed for the purposes of workforce diversity, under the Government Sector Employment Regulation 2014, are encouraged to continue to include workforce diversity information, in the same terms, in their annual reports
	ARDR c14 TC 15/18	<ul style="list-style-type: none"> Small Departments need only report on a triennial basis <p>For information on this requirement, please see www.psc.nsw.gov.au/workplace-culture---diversity/equity---diversity/annual-reporting/annual-reporting</p> <p>For queries please contact the Public Service Commission (PSC) on 9272 6000</p>	ARSBR c18 TC 15/18	<ul style="list-style-type: none"> Small statutory bodies need only report on a triennial basis <p>For information on this requirement, please see www.psc.nsw.gov.au/workplace-culture---diversity/equity---diversity/annual-reporting/annual-reporting</p> <p>For queries please contact the Public Service Commission (PSC) on 9272 6000</p>
Disability Inclusion Action Plans	DIA s12 and 13, ARDR Sch.1	<ul style="list-style-type: none"> If the Department is required to have a disability inclusion action plan under the <i>Disability Inclusion Act 2014</i>, a statement setting out the progress during the reporting year in implementing that plan 	DIA s12n and 13, ARSBR Sch.1	<ul style="list-style-type: none"> If the statutory body is required to have a disability inclusion action plan under the <i>Disability Inclusion Act 2014</i>, a statement setting out the progress during the reporting year in implementing that plan

Requirement	Departments		Statutory Bodies	
	ARDR c14 TC15- 18	<ul style="list-style-type: none"> Small departments need only report on a triennial basis <p>See https://www.facs.nsw.gov.au/data/assets/file/0004/322366/NSW-DIAP-Guidelines.PDF For queries please contact the Department of Family and Community Services directly (tel: 1800 782 306 or NSWDIP@facs.nsw.gov.au)</p>	ARSBR c18 TC15- 18	<ul style="list-style-type: none"> Small statutory bodies need only report on a triennial basis <p>See https://www.facs.nsw.gov.au/data/assets/file/0004/322366/NSW-DIAP-Guidelines.PDF For queries please contact the Department of Family and Community Services directly (tel: 1800 782 306 or NSWDIP@facs.nsw.gov.au)</p>
Land Disposal	ARDR Sch.1	<ul style="list-style-type: none"> If value greater than \$5,000,000 & not sold by public auction or tender <ul style="list-style-type: none"> list of properties for each case, name of person who acquired the property & proceeds Details of family or business association between purchaser & person responsible for approving disposal Reasons for the disposal Purpose/s for which proceeds were used Statement that access to documents relating to the disposal can be obtained under the <i>Government Information (Public Access) Act 2009</i> 	ARSBR Sch.1	<ul style="list-style-type: none"> If value greater than \$5,000,000 & not sold by public auction or tender <ul style="list-style-type: none"> list of properties for each case, name of person who acquired the property & proceeds Details of family or business association between purchaser & person responsible for approving disposal Reasons for the disposal Purpose/s for which proceeds were used Statement that access to documents relating to the disposal can be obtained under the <i>Government Information (Public Access) Act 2009</i>
Promotion	ARDR Sch.1	Overseas visits by employees and officers with main purposes highlighted	ARSBR Sch.1	Overseas visits by employees and officers with main purposes highlighted
Consumer Response	ARDR Sch.1	<ul style="list-style-type: none"> Extent and main features of complaints Services improved/changed in response to complaints/suggestions 	ARSBR Sch.1	<ul style="list-style-type: none"> Extent and main features of complaints Services improved/changed in response to complaints/suggestions
Payment of Accounts	TC 11/21 ARDR Sch.1	<ul style="list-style-type: none"> Details of performance in paying accounts for each quarter, from due dates: <ul style="list-style-type: none"> Current, 0-30, 30-60, 60-90 and 90+ \$ amounts Target %, actual % and \$ for on time Total dollar amount paid in quarter (Can use proper sampling techniques) <p>Details of accounts due or paid within each quarter – A schedule of the number and dollar amount of accounts / invoices due or paid within each quarter of the financial year as follows, separately disclosed for all suppliers and small business suppliers:</p> <ul style="list-style-type: none"> Number of accounts due for payment Number of accounts paid on time Actual percentage of accounts paid on time (based on number of accounts) Dollar amount of accounts due for payment Dollar amount of accounts paid on time Actual percentage of accounts paid on time (based on dollar amount of accounts) Number of payments for interest on overdue accounts Interest paid on late accounts 	TC 11/21 ARSBR Sch.1	<ul style="list-style-type: none"> Details of performance in paying accounts for each quarter, from due dates: <ul style="list-style-type: none"> Current, 0-30, 30-60, 60-90 and 90+ \$ amounts Target %, actual % and \$ for on time Total dollar amount paid in quarter (Can use proper sampling techniques) <p>Details of accounts due or paid within each quarter – A schedule of the number and dollar amount of accounts / invoices due or paid within each quarter of the financial year as follows, separately disclosed for all suppliers and small business suppliers:</p> <ul style="list-style-type: none"> Number of accounts due for payment Number of accounts paid on time Actual percentage of accounts paid on time (based on number of accounts) Dollar amount of accounts due for payment Dollar amount of accounts paid on time Actual percentage of accounts paid on time (based on dollar amount of accounts) Number of payments for interest on overdue accounts Interest paid on late accounts

Requirement	Departments		Statutory Bodies	
		<ul style="list-style-type: none"> Commentary on problems affecting prompt processing of payments during the year and on initiatives implemented to improve payment performance 		<ul style="list-style-type: none"> Commentary on problems affecting prompt processing of payments during the year and on initiatives implemented to improve payment performance
Time for Payment of Accounts	ARDR Sch.1; TC 11/21	Where interest was paid due to late payments, list of instances and reasons for delay which caused late payment	ARSBR Sch.1; TC 11/21	Where interest was paid due to late payments, list of instances and reasons for delay which caused late payment
Risk management and insurance activities	ARDR Sch.1	Report on the risk management & insurance arrangements and activities affecting the agency	ARSBR Sch.1	Report on the risk management & insurance arrangements and activities affecting the agency
Internal audit and risk management policy attestation	TPP 15-03	Department heads must: <ul style="list-style-type: none"> attest to compliance with the TPP's 'core requirements' in an attestation statement based on the relevant template at Annexure C of the TPP, and ensure that this Statement is published in the Department's Annual Report, adjacent to the requirement to disclose 'risk management and insurance activities' 	TPP 15-03	The governing board, or in the absence of a governing board, the Chief Executive Officer, must: <ul style="list-style-type: none"> attest to compliance with the TPP's 'core requirements' in an attestation statement based on the relevant template at Annexure C of the TPP, and ensure that this Statement is published in the statutory body's Annual Report, adjacent to the requirement to disclose 'risk management and insurance activities' The above requirement does not apply to SOCs
Disclosure of Controlled Entities	ARDR Sch.1	For each controlled entity: <ul style="list-style-type: none"> Name, objectives, operations, activities Performance targets and actual performance measures 	ARSBR Sch.1	For each controlled entity: <ul style="list-style-type: none"> Name, objectives, operations, activities Performance targets and actual performance measures
Disclosure of Subsidiaries	PM 06-02	For each public sector subsidiary, the parent must: <ul style="list-style-type: none"> Identify each subsidiary in which shares are held, and the number and % of shares held; Include key figures for each subsidiary (turnover, profit, assets) and their proportion to group totals Include detailed statement of objectives, activities and operations of each subsidiary, performance targets and measures and accounts; and Include description of nature and extent of involvement in any other companies, joint ventures, partnerships, trusts or other such associations (whether or not incorporated) 	PM 06-02	For each public sector subsidiary, the parent must: <ul style="list-style-type: none"> Identify each subsidiary in which shares are held, and the number and % of shares held; Include key figures for each subsidiary (turnover, profit, assets) and their proportion to group totals Include detailed statement of objectives, activities and operations of each subsidiary, performance targets and measures and accounts; and Include description of nature and extent of involvement in any other companies, joint ventures, partnerships, trusts or other such associations (whether or not incorporated) The above requirement does not apply to SOCs
Multicultural Policies and Services Program	ARDR Sch.1 ARDR c14 TC15-18	<ul style="list-style-type: none"> Statement setting out the key multicultural strategies proposed for the following year Progress in implementing the Department's multicultural policies and service plan Information as to the multicultural policies and services plans of any bodies reporting to the Department Small departments need only report on a triennial basis 	ARSBR Sch.1 ARSBR c18 TC15-18	<ul style="list-style-type: none"> Statement setting out the key multicultural strategies proposed for the following year Progress in implementing the statutory body's multicultural policies and services plan Information as to the multicultural policies and services plans of any bodies reporting to the agency Small statutory bodies need only report on a triennial basis

Requirement	Departments		Statutory Bodies	
Agreements with Multicultural NSW	ARDR Sch.1	Description of any agreement entered into with Multicultural NSW under the <i>Multicultural NSW Act 2000</i> and statement setting out progress in implementing any agreement	ARSBR Sch.1	Description of any agreement entered into with Multicultural NSW under the <i>Multicultural NSW Act 2000</i> and statement setting out progress in implementing any agreement
Work Health and Safety (WHS)	ARDR Sch.1 ARDR c14 TC15-18	<ul style="list-style-type: none"> • Statement setting out WHS performance • Details of injuries and prosecutions under the <i>Work Health and Safety Act 2011</i> • Small departments need only report on a triennial basis 	ARSBR Sch.1 ARSBR c18 TC15-18	<ul style="list-style-type: none"> • Statement setting out WHS performance • Details of injuries and prosecutions under the <i>Work Health and Safety Act 2011</i> • Small statutory bodies need only report on a triennial basis
Budgets	NA	NA	ARSBA s7(1)(a)(iii) ARSBR c7(1)	<ul style="list-style-type: none"> • Detailed budget for the year reported on, including details of: <ul style="list-style-type: none"> - If this is the first budget approved - Adjustments to first budget approved • Outline budget for following year
Financial Statements	ARDA s9(1)-(2)	<ul style="list-style-type: none"> • Inclusion of Financial Statements • Controlled Entities' Financial statements • Audit Opinion on Financial Statements • Response to significant issues raised by Auditor-General 	ARSBA s7(1)(a)(i) - (iia)	<ul style="list-style-type: none"> • Inclusion of Financial Statements • Controlled Entities' Financial statements • Audit Opinion on Financial Statements • Response to significant issues raised by Auditor-General
Identification of audited financial statements	ARDR c4	At start and finish	ARSBR c5	At start and finish
Inclusion of unaudited financial statements	ARDR c5	Unaudited financial information to be distinguished by note or otherwise	ARSBR c6	Unaudited financial information to be distinguished by note or otherwise
Additional matters for inclusion in annual reports	ARDR c6	<ul style="list-style-type: none"> • Statement of the action taken by the Department in complying with the requirements of the <i>Privacy and Personal Information Protection Act 1998</i> (PPIPA) and statistical details of any review conducted by or on behalf of the Department under Part 5 of the PPIPA. • After balance date events having a significant effect in succeeding year on: <ul style="list-style-type: none"> - Financial operations - Other operations - Clientele/community served • Total external costs (such as fees for consultants and printing costs) incurred in the production of the report. • The website at which the report may be accessed (or the Department's website) 	ARSBR c8	<ul style="list-style-type: none"> • Statement of the action taken by the body in complying with the requirements of the <i>Privacy and Personal Information Protection Act 1998</i> (PPIPA) and statistical details of any review conducted by or on behalf of the body under Part 5 of the PPIPA. Does not apply to SOCs. • After balance date events having a significant effect in succeeding year on: <ul style="list-style-type: none"> - Financial operations - Other operations - Clientele/community served • Total external costs (such as fees for consultants and printing costs) incurred in the production of the report. • The website at which the report may be accessed (or the statutory body's website)
Investment performance	NA	NA	ARSBR c10; TC 17/02	<ul style="list-style-type: none"> • In the form of a comparison with a choice of Treasury Corporation investment facilities • Choice of comparison based on nature and term of underlying liability • Stated in terms of annual compound percentage rate of return
Liability management performance	NA	NA	ARSBR c11; TC 17/02	<ul style="list-style-type: none"> • Only if debt is greater than \$20m • In the form of a comparison, details of agency's liability portfolio performance versus benchmark • Benchmark is notional portfolio constructed as risk neutral per Treasurer

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Exemptions	ARDR c13(4) ARDR c14	<ul style="list-style-type: none"> If applicable, section “Exemptions from the Reporting Provisions” including: <ul style="list-style-type: none"> - Details of exemptions - Reasons for exemptions Small departments need report on a triennial basis only in relation to: <ul style="list-style-type: none"> - workforce diversity - disability inclusion action plans - multicultural policies and services program - work health and safety triennial reporting of particulars in the report of the operations of a Department must relate not only to the reporting year for which the report is prepared (and the succeeding reporting year, if required by Schedule 1) but also to those of the 2 preceding reporting years in relation to which those particulars have not yet been reported in an annual report of the Department 	ARSBR c17(4) ARSBR c18	<ul style="list-style-type: none"> If applicable, section “Exemptions from the Reporting Provisions” including: <ul style="list-style-type: none"> - Details of exemptions - Reasons for exemptions Small statutory bodies need report on a triennial basis only in relation to: <ul style="list-style-type: none"> - workforce diversity - disability inclusion action plans - multicultural policies and services program - work health and safety triennial reporting of particulars in the report of the operations of a statutory body must relate not only to the reporting year for which the report is prepared (and the succeeding reporting year, if required by Schedule 1) but also to those of the 2 preceding reporting years in relation to which those particulars have not yet been reported in an annual report of the statutory body
Numbers and remuneration of senior executives	ARDR c7 PSC Circular 2014-09 SOORT determination	<ul style="list-style-type: none"> Number of senior executives employed at the end of the reporting year broken down by band and then gender within each band, compared with the numbers at the end of the previous reporting year Average total remuneration package of senior executives in each band at the end of the reporting year, compared with the average at the end of the previous reporting year The percentage of total employee-related expenditure in the reporting year that relates to senior executives, compared with the percentage at the end of the previous reporting year <p><u>For financial years ended between 1 July 2018 and 1 July 2019</u></p> <ul style="list-style-type: none"> The four senior executive bands that applied for financial years ended between 01 July 2018 and 30 June 2019 are published in the Statutory and Other Officers Remuneration Tribunal (SOORT) <i>2018 Annual Determination – SOORT - Public Service Executive</i> dated 07 August 2018. Agencies preparing annual reports for years ended between 01 July 2018 and 30 June 2019 must base their senior executive disclosures on those bands, which are set out in Treasury’s Annual Report Frequently Asked Questions at https://www.treasury.nsw.gov.au/information-public-entities/annual-reporting/annual-reporting-faqs <p><u>For periods ending after 1 July 2019</u></p> <p>The four senior executive bands that applied for financial years ending after 01 July 2019 are published in the Statutory and Other Officers Remuneration Tribunal (SOORT) <i>2019 Annual Determination – SOORT - Public Service Executive</i> dated 27 August 2019. Agencies preparing annual reports for years ended after 01 July 2019 must base their senior</p>	ARSBR c12 PSC Circular 2014-09 SOORT determination	<ul style="list-style-type: none"> Number of senior executives employed at the end of the reporting year broken down by band and then gender within each band, compared with the numbers at the end of the previous reporting year Average total remuneration package of senior executives in each band at the end of the reporting year, compared with the average at the end of the previous reporting year The percentage of total employee-related expenditure in the reporting year that relates to senior executives, compared with the percentage at the end of the previous reporting year <p><u>For financial years ended between 1 July 2018 and 1 July 2019</u></p> <p>The four senior executive bands that applied for financial years ended between 01 July 2018 and 30 June 2019 are published in the Statutory and Other Officers Remuneration Tribunal (SOORT) <i>2018 Annual Determination – SOORT - Public Service Executive</i> dated 07 August 2018. Agencies preparing annual reports for years ended between 01 July 2018 and 30 June 2019 must base their senior executive disclosures on those bands, which are set out in Treasury’s Annual Report Frequently Asked Questions at https://www.treasury.nsw.gov.au/information-public-entities/annual-reporting/annual-reporting-faqs</p> <p><u>For periods ending after 1 July 2019</u></p> <p>The four senior executive bands that applied for financial years ending after 01 July 2019 are published in the Statutory and Other Officers Remuneration Tribunal (SOORT) <i>2019 Annual Determination – SOORT - Public Service Executive</i> dated 27 August 2019. Agencies preparing annual reports for years ended after 01 July 2019 must base their senior executive disclosures on those bands, which are set</p>

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		executive disclosures on those bands, which are set out in Treasury's Annual Report Frequently Asked Questions at https://www.treasury.nsw.gov.au/information-public-entities/annual-reporting/annual-reporting-faqs		out in Treasury's Annual Report Frequently Asked Questions at https://www.treasury.nsw.gov.au/information-public-entities/annual-reporting/annual-reporting-faqs
Implementation of Price Determination	IPARTAs18(4)	If agency subject to determination or recommendation of Tribunal then: <ul style="list-style-type: none"> • Statement that it was implemented and details of implementation; or • Reasons for not being implemented. 	IPARTAs18(4)	If agency subject to determination or recommendation of Tribunal then: <ul style="list-style-type: none"> • Statement that it was implemented and details of implementation; or • Reasons for not being implemented.
Government Information (Public Access) Act 2009	GIPAA s125(4), (6) GIPAAR c8, Sch 2; c13, Sch 3	<ul style="list-style-type: none"> • Details of the agency's review under s7(3) of the Act during the year and details of any information made publicly available as a result of the review • Total number of access applications received during the year (including withdrawn applications but not including invalid applications) • Total number of access applications received that agency refused, either wholly or in part, because the application was for disclosure of information for which there is conclusive presumption of overriding public interest against disclosure • Statistical information as described in Sch 2 • Each agency referred to in Sch 3 of the Regulation (subsidiary agency) is declared to be part of and included in the parent agency specified in Sch 3. 	GIPAA s125(4), (6) GIPAAR c8, Sch 2; c13, Sch 3	<ul style="list-style-type: none"> • Details of the agency's review under s7(3) of the Act during the year and details of any information made publicly available as a result of the review • Total number of access applications received during the year (including withdrawn applications but not including invalid applications) • Total number of access applications received that agency refused, either wholly or in part, because the application was for disclosure of information for which there is conclusive presumption of overriding public interest against disclosure • Statistical information as described in Sch 2 • Each agency referred to in Sch 3 of the Regulation (subsidiary agency) is declared to be part of and included in the parent agency specified in Sch 3.
Cyber Security Policy (CSP) attestation	DFSI-2019-02	https://arp.nsw.gov.au/dfsi-2019-02-nsw-cyber-security-policy Department heads must include an annual report attestation statement addressing the following: <ul style="list-style-type: none"> • the Agency has assessed its cyber security risks, • cyber security is appropriately addressed at Agency governance forums, • the Agency has a cyber incident response plan, it is integrated with the security components of business continuity arrangements, and has been tested over the previous 12 months (involving senior business executives), and • certification of the Agency's Information Security Management System (ISMS) is in place or an alternative independent review or audit has been undertaken. See page 11 of the CSP for suggested wording. For 2018-19 annual reports: The Digital Information Policy (DISP 2.0) previously required an attestation in annual reports. However, DISP 2.0 was repealed on 1 February 2019 and replaced by the CSP. Agencies are <u>not</u> required to include a DISP 2.0 attestation statement in their 2018-19 annual reports. Instead, agencies' CSP	DFSI-2019-02	https://arp.nsw.gov.au/dfsi-2019-02-nsw-cyber-security-policy Governing boards of statutory bodies must include an annual report attestation statement addressing the following: <ul style="list-style-type: none"> • the Agency has assessed its cyber security risks, • cyber security is appropriately addressed at Agency governance forums, • the Agency has a cyber incident response plan, it is integrated with the security components of business continuity arrangements, and has been tested over the previous 12 months (involving senior business executives), and • certification of the Agency's Information Security Management System (ISMS) is in place or an alternative independent review or audit has been undertaken. See page 11 of the CSP for suggested wording. For 2018-19 annual reports: The Digital Information Policy (DISP 2.0) previously required an attestation in annual reports. However, DISP 2.0 was repealed on 1 February 2019 and replaced by the CSP. Agencies are <u>not</u> required to include a DISP 2.0 attestation statement in their 2018-19 annual reports. Instead, agencies' CSP

Requirement	Departments		Statutory Bodies	
		<p>attestation statement for 2018-19 will cover that entire year.</p> <p>For queries please contact Cyber Security NSW at the Department of Customer Service - CyberSecurityPolicy@finance.nsw.gov.au or telephone the Department of Customer Service on 13 77 88.</p>		<p>attestation statement for 2018-19 will cover that entire year.</p> <p>For queries please contact Cyber Security NSW at the Department of Customer Service - CyberSecurityPolicy@finance.nsw.gov.au or telephone the Department of Customer Service on 13 77 88.</p>
Public Interest Disclosures (PID)	PIDA s31, PIDR c4,	<p>Separately report on:</p> <ul style="list-style-type: none"> • PIDs made by public officials in performing their day to day functions as public officials • PIDs not covered above that are made under a statutory or other legal obligation • All other PIDs <p>For each PID, a public authority should disclose the following information:</p> <ul style="list-style-type: none"> • Number of public officials who have made a PID to the public authority • Number of PIDs received by the public authority in total and the number of PIDs received by the public authority relating to each of the following: <ul style="list-style-type: none"> ○ corrupt conduct ○ maladministration. ○ serious and substantial waste of public or local government money ○ government information contraventions ○ local government pecuniary interest contraventions • Number of PIDs finalised • Whether the public authority has a PID policy in place • Actions taken to ensure staff awareness responsibilities under s6E(1)(b) of the PIDA have been met. 	PIDA s31, PIDR c4,	<p>Separately report on:</p> <ul style="list-style-type: none"> • PIDs made by public officials in performing their day to day functions as public officials • PIDs not covered above that are made under a statutory or other legal obligation • All other PIDs <p>For each PID, a public authority should disclose the following information:</p> <ul style="list-style-type: none"> • Number of public officials who have made a PID to the public authority • Number of PIDs received by the public authority in total and the number of PIDs received by the public authority relating to each of the following: <ul style="list-style-type: none"> ○ corrupt conduct ○ maladministration ○ serious and substantial waste of public or local government money ○ government information contraventions ○ local government pecuniary interest contraventions • Number of PIDs finalised • Whether the public authority has a PID policy in place • Actions taken to ensure staff awareness responsibilities under s6E(1)(b) of the PIDA have been met.
Requirements arising from employment arrangements	TC 15/07 ARDA s18(1)	Additional requirements, where Department provides personnel services to one or more statutory bodies – refer section 4 of TC15-07	TC 15/07 ARSBA s15(1)	Additional requirements, where statutory body receives personnel services from a Department or special purpose service entity – refer section 4 of TC15-07
Form of annual reports – generally	ARDR c10	<ul style="list-style-type: none"> • Material information reported • Logical sequence • Appropriate layout • Clear readable text • Appropriate captions for charts, diagrams, or photos • Index and table of contents to assist identifying reporting requirements 	ARSBR c14	<ul style="list-style-type: none"> • Material information reported • Logical sequence • Appropriate layout • Clear readable text • Appropriate captions for charts, diagrams, or photos • Index and table of contents to assist identifying reporting requirements
Submission of annual report to appropriate Minister	ARDA s12 PM2013-09	<ul style="list-style-type: none"> • Not later than four months after year end • Appropriate Ministers can decide whether their Departments submit annual reports to that Minister in printed or electronic form. 	ARSBA s10 PM2013-09	<ul style="list-style-type: none"> • Not later than four months after year end • Appropriate Ministers can decide whether their statutory bodies submit annual reports to that Minister in printed or electronic form.
Submission of annual report to	ARDA s12	<ul style="list-style-type: none"> • Submit an electronic copy of annual report to the Treasurer (annualreport@treasurer.nsw.gov.au) at the same time it is submitted to the 	ARSBA s10	<ul style="list-style-type: none"> • Submit an electronic copy of annual report to the Treasurer (annualreport@treasurer.nsw.gov.au) at the same time it is submitted to the

Requirement	Departments		Statutory Bodies	
the Treasurer	PM2013-09	appropriate Minister	PM2013-09	appropriate Minister
Presentation of annual report to Parliament	ARDA s13	<ul style="list-style-type: none"> The appropriate Minister must present a printed copy of a Department's annual report to each House of Parliament. To permit that Minister to meet this requirement, each Department must submit two printed copies of its annual report to that Minister. The appropriate Minister must present that report within one month of receipt If late, statement by Minister 	ARSBA s11	<ul style="list-style-type: none"> The appropriate Minister must present a printed copy of a statutory body's annual report to each House of Parliament. To permit that Minister to meet this requirement, each statutory body must submit two printed copies of its annual report to that Minister. The appropriate Minister must present that report within one month of receipt If late, statement by Minister
Annual reports size-presentation to Parliament	ARDR c11(1)	<ul style="list-style-type: none"> Size – ISO A4 	ARSBR c15((1))	<ul style="list-style-type: none"> Size – ISO A4
Printing and distribution requirements	PC 00-68; PM 00-15 PM 2013-09	<p>All production costs must be kept to a minimum by:</p> <ul style="list-style-type: none"> Limiting content to recording performance and meeting statutory obligations Printing hard copies in house in black and white Not including unnecessary pictures and illustrations Eliminating external production costs <p>Electronic copies of annual reports are to be sent to:</p> <ul style="list-style-type: none"> State Records (upload to OpenGov NSW) National Library of Australia UWS Library State Library Parliamentary Library 	PC 00-68; PM 00-15 PM 2013-09	<p>All production costs must be kept to a minimum by:</p> <ul style="list-style-type: none"> Limiting content to recording performance and meeting statutory obligations Printing hard copies in house in black and white Not including unnecessary pictures and illustrations Eliminating external production costs <p>Electronic copies of annual reports are to be sent to:</p> <ul style="list-style-type: none"> State Records (upload to OpenGov NSW) National Library of Australia UWS Library State Library Parliamentary Library
Public availability of annual reports	ARDA s14; ARDR c12 TC15-19 PM 2013-09	<ul style="list-style-type: none"> A copy of the annual report must be made publicly available on the Department's website (or other relevant website) as soon as practicable after the hard copy report is presented to Parliament A copy of the annual report must also be made available to Parliament in electronic form as soon as practicable after the hard copy report is presented to Parliament Available to others if required by the Treasurer 	ARSBA s12; ARSBR c16 TC15-19 PM 2013-09	<ul style="list-style-type: none"> A copy of the annual report must be made publicly available on the statutory body's website (or other relevant website) as soon as practicable after the hard copy report is presented to Parliament A copy of the annual report must also be made available to Parliament in electronic form as soon as practicable after the hard copy is presented to Parliament Available to others if required by the Treasurer

Key to References:

ARDA	<i>Annual Reports (Departments) Act 1985</i>
ARDR	<i>Annual Reports (Departments) Regulation 2015</i>
ARSBA	<i>Annual Reports (Statutory Bodies) Act 1984</i>
ARSBR	<i>Annual Reports (Statutory Bodies) Regulation 2015</i>
CSP	<i>NSW Cyber Security Policy – Cyber Security NSW</i>
DIA	<i>Disability Inclusion Act 2014</i>
GIPAA	<i>Government Information (Public Access) Act 2009</i>
GIPAAR	<i>Government Information (Public Access) Regulation 2018</i>
GSEA	<i>Government Sector Employment Act 2013</i>
IPARTA	<i>Independent Pricing and Regulatory Tribunal Act 1992</i>
PIDA	<i>Public Interest Disclosures Act 1994</i>

PIDR	<i>Public Interest Disclosures Regulation 2011</i>
PC	Premier's Circular
PM	Premier's Memorandum
PSC	Public Service Commission
PFAA	<i>Public Finance & Audit Act 1983</i>
PPIPA	<i>Privacy and Personal Information Protection Act 1998</i>
TC:	Treasury Circular
TPP:	Treasury Policy Paper