



# Department of the Legislative Assembly

PLANNING AND REPORTING FRAMEWORK 2009-2011

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Re-issued July 2010

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## A message from the Clerk

The Department of the Legislative Assembly is a provider of a wide range of services which are primarily aimed at meeting the needs of:

- Elected Members, as they discharge their duties as representatives of the people in NSW;
- Managers of parliamentary business in the various political parties, in managing the operation of the business of the House and its committees;
- The citizens of NSW to be informed about the debate and decisions made by the Members in the House and its committees.

To do this we provide services both within Parliament House and beyond.

*In Parliament House*, we work with our colleagues in the Department of the Legislative Council and the Department of Parliamentary Services to ensure that Members and the public have access to services appropriate to their needs.

Accordingly, we have developed our plans within the framework of the Parliament House Strategic Plan 2009 – 2018.

*Beyond Parliament House*, we support 95 offices across NSW so that Members and their staff are properly supported in their local communities while carrying out their electoral duties.

Our Strategic Plan has been reviewed and re-issued for three main reasons. Firstly, our plan has been reviewed in the light of the development, by the three Parliamentary Departments, of a Parliament-whole Strategic Plan which contains both short term and long term initiatives. Our plan covers the period up to the next General Election in 2011. Secondly, it now includes initiatives developed as a direct result of the surveys of Members and electorate officers in 2009 and the actions developed from the survey of Departmental staff at Parliament House in 2009 which are recorded in the “Building a Better Legislative Assembly” document. Lastly, our operational plan, which records the important day to day activities of the Department, will not form part of the Strategic Plan. These actions will continue to be reported on regularly by staff in the on line format on the Department’s intranet.

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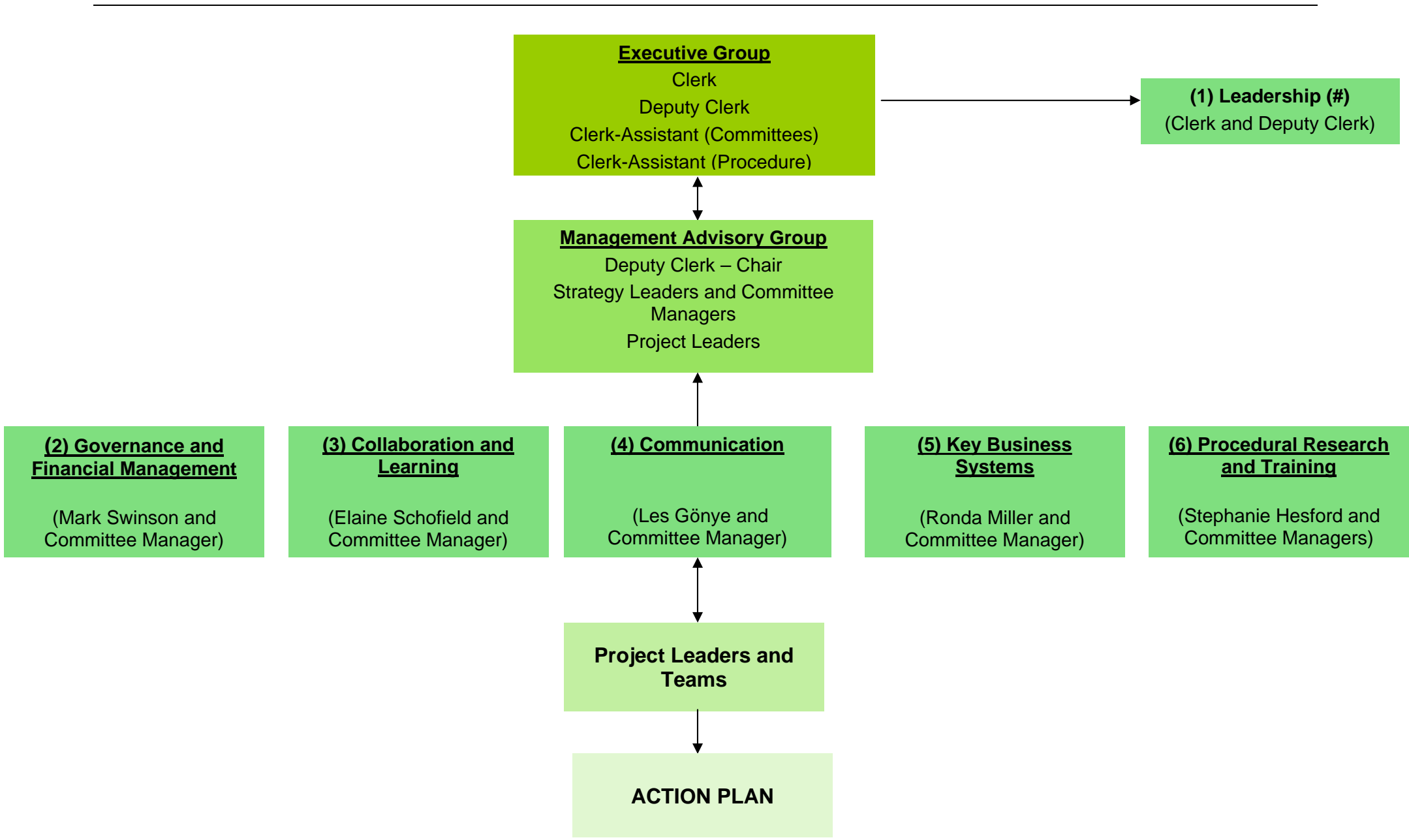
This document which sets out the Department’s planning and reporting framework explains how we will go out delivering on our results each year and the role each member of staff has in helping achieve our results or outcomes.

Managers and staff will be reporting against our strategic initiatives on a quarterly basis and on our ongoing operations in accordance with our Strategic Planning Cycle document, which is included in this framework. We will also be integrating these documents into our performance management system.

The initiatives identified in the Strategic Plan together with those from the “Building a Better Legislative Assembly” document, created as a result of our first employee opinion survey in late 2009, will be prioritised into an Action Plan for 2010 to be developed as a matter of priority by the Management Advisory Group.

An important associated initiative is the re-organisation of our management structure from January 2010. This re-organisation sees the formal creation of a Management Advisory Group, which has operated on an informal basis for the last few years. The Management Advisory Group will now be charged with the delivery of the initiatives identified in the 6 Strategy Areas in the Strategic Plan and in the Building a Better Legislative Assembly document. Expressions of interest will be sought for Project Leaders and teams from throughout the Department. The diagram which follows sets out the arrangement in more detail.

Russell D. Grove  
Clerk of the Legislative Assembly



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## Our Values

*The values of the Department of the Legislative Assembly provide the foundation for our Code of Conduct and guide the decisions and actions of staff.*

### Integrity

- We are honest, act fairly, responsibly and in good faith.
- We are accountable for our actions.
- We are loyal to the Parliament, and do not act or speak in a manner that disparages Members or Parliament's role.
- We respect confidential information.

### Professionalism

- We have a strong understanding of the role and function of Parliament, and knowledge and experience to fulfil the responsibilities and obligations of our position.
- We are committed to the Assembly's organisational goals and values and act in a way that enhances public confidence in the Parliament.
- We deal with issues promptly and sensitively.
- We avoid conduct that would affect our ability to properly fulfil our duties.
- We are committed to continuous improvement.

### Impartiality

- We are apolitical and treat all Members and other contacts equally and without bias.
- We do not discriminate on grounds of sex, marital status, religious or ethical belief, colour, race, ethnic or national origins, disability, age, political opinion, employment or family status or sexual orientation.
- We use discretion when we exercise our rights as a citizen in relation to political activities and in our dealings with Members.
- We are objective, maintaining an open mind.
- We do not exhibit favouritism.

### Collegiality

- We work collaboratively with each other, striving to build a common sense of purpose.
- We share knowledge and co-operate with each other, providing a learning organisation.
- We recognise the contribution of others and champion success.
- We foster supportive and productive partnerships.
- We recognise that by working as one team, the Department of the Legislative Assembly increases its capacity to deliver quality services.
- We consult with others on matters that impact on or involve their work responsibilities.

### Respect

- We avoid behaviour that might cause distress or disruption in the workplace.
- We are conscious of the rights and feelings of our colleagues and the people that we deal with, and we treat them all with courtesy and discretion.
- We are tolerant and supportive of diverse views and opinions.
- We use appropriate communication in all our relationships.
- We do not harass, bully or otherwise intimidate colleagues or others we deal with.

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- We respect the confidentiality of personal information.
  - As a member of a team, we fully participate and pull our weight.

#### Excellence

- We undertake our work responsibilities to the very best of our abilities.
- We exhibit the highest standards in our interactions with clients and colleagues.
- We produce high quality, relevant and timely advice.
- We seek out best practice, and develop quality policy and program delivery.
- We are forward thinking, innovative and learning.
- We acknowledge the importance of personal drive, staff motivation, involvement and commitment in contributing to the Assembly's objectives.
- We display strong leadership, both within the organisation, and in external relationships with other parliaments, and the NSW Government.

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## The Legislative Assembly's planning and reporting framework

The Department has developed its own planning and reporting framework and planning cycle calendar in view of the fact that the equivalent Government documents are not wholly applicable to the Parliament and, more importantly, to explain the linkage between our strategic planning, budgeting and reporting activities.

There are direct connections between the different layers in the planning and reporting framework, for example the Department's Strategic Plan works towards the same results or outcomes as the Parliament's Results and Services Plan. These then flow through to our day to day operational planning and to our monthly, quarterly and annual reports.

Each year there is a process of implementation, monitoring through regular reports and then review and survey to feed into the next cycle of planning, culminating in the annual report.

### Central agency requirements

The NSW Department of Premier and Cabinet provides a guide to agencies to meet their planning and reporting called the *Strategic Management Framework* and *Strategic Management Calendar*. Although the Department of the Legislative Assembly is a public sector agency funded by the State budget, it is separate from Executive Government. For this reason many of the requirements included in the *Strategic Management Framework* such as the State Plan and cabinet and legislative processes are not relevant to the Department. Others, such as requirements to account for the use of public funds, are relevant because the Department is ultimately reliant on Executive Government to provide it with resources.

The *Strategic Management Calendar* shows how to implement these planning requirements, including timing of planning, budgeting and reporting.

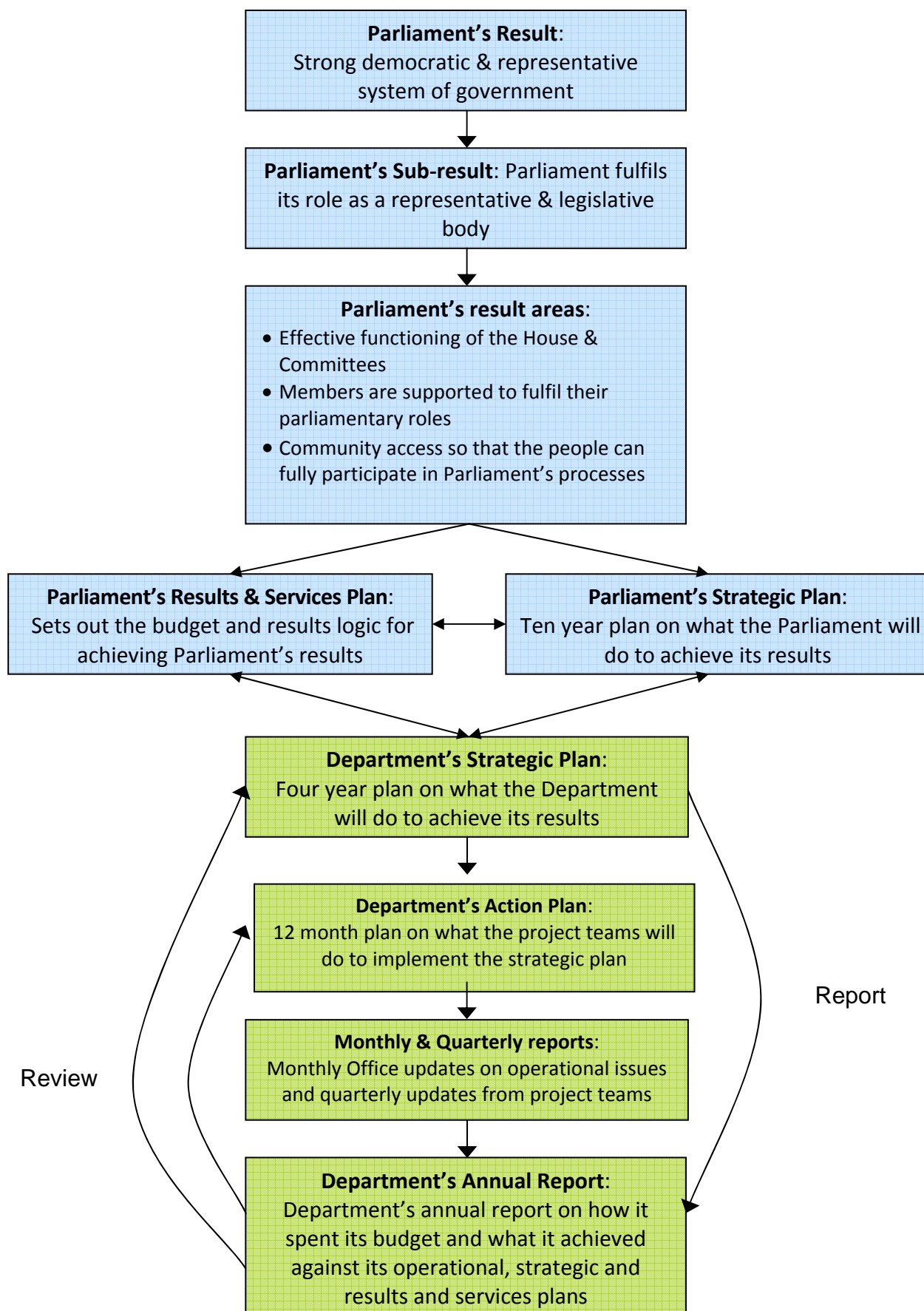
### Parliament-whole planning and reporting

The Department receives funding through the Budget as part of the allocation for *The Legislature* as a whole which also includes funding for the separate Departments of the Legislative Council and the Parliamentary Services.

The NSW Treasury obliges each budget-funded agency to account for the services provided with these funds in a *Results and Services Plan*.

These and the other planning documents relevant to the operation of the Department and the Parliament as a whole are more fully described in the Strategic Plan for the Parliament 2009 – 2018. This document has been produced jointly by the three Departments.

## Legislative Assembly's Planning & Reporting Structure



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## **How does the planning process work?**

A strategic plan is a high level plan that covers between three and five years or beyond. Our current plan will run to the end of the current Parliament and then will be revised for the period 2011 to 2014. The plan usually incorporates the agency's vision, mission and values.

Each year this plan is updated and an Action Plan consisting of prioritised, budgeted and timetabled strategic projects is developed. The Action Plan projects are assigned to project teams with project leaders reporting to the Executive Advisory Group.

In addition, our operational plan, which records the day to day services provided by the officers of the Department, is regularly updated and actions are assigned to individuals.

## **The Department's planning, monitoring and reporting**

The Department's Strategic Plan is structured to complement the Parliament's Results and Services Plan and the Parliament's Strategic Plan with key services allocated to separate results areas. In addition, our Strategic Plan includes initiatives that have resulted from our surveys of staff, electorate officers and Members.

Operational plans identify the key day to day services that the Department provides and responsibility is assigned for these services. These responsibilities are reflected in the Department's published Services Directory, which assists Members and electorate officers identify who to contact for identified services.

The Department monitors the status of the strategic initiatives through quarterly reports and on our operational services on a monthly basis. Both these reports are available to staff to view and update through the intranet.

The material gathered through this reporting mechanism is used for the compilation of our annual report and also used to prepare our Action Plan for the following year.

## **Opportunities to improve strategic planning in the Legislative Assembly**

Our strategic planning processes will be regularly reviewed to ensure that we are including the best management practices possible. We will draw on the experience of other Parliaments and agencies, where applicable, in shaping our own corporate philosophies and in determining how best to achieve our results.

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# Our results statement

The Parliament of New South Wales, under the *Constitution Act 1902*, is comprised of a Legislative Council and a Legislative Assembly, and has the following roles in providing for a system of representative and responsible government for the people of the New South Wales:

1. Making laws for the peace, welfare and good government of New South Wales, with the consent of the Governor.
2. Providing a forum for supervision and scrutiny of the Executive Government and accountability to the people of New South Wales.
3. Providing a forum for debate, discussion and review of issues of public policy and issues of concern to the people of New South Wales.

In supporting the Parliament to fulfil the above roles, the Parliamentary Departments work toward the achievement of a number of results for the people of New South Wales, including:

- RESULT 1: Ensuring the efficient and effective functioning of the two Houses of Parliament, their committees and members of the Houses
- RESULT 2: Ensuring that members of Parliament can fulfil their public duties as elected representative of the people.
- RESULT 3: Providing access by the community to the Parliament and its proceedings, committees and members so that the people can fully participate in the processes of Parliament

While all of the Department’s activities are ultimately aimed at achieving these results, some activities are aimed at the intermediate result of building the Department’s capacity to deliver services. This includes such activities as management and staff support. This internal result area is referred to in our planning documents as “capacity building”.

- RESULT 4: Capacity Building (internal to the Legislative Assembly)

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## Our strategies

### Services delivering results

The Department achieves its results by delivering services to the Legislative Assembly and its committees, the members of the Legislative Assembly, and the people of New South Wales.

The key services the Department provides are set out in the strategic plan diagram at page 14. Responsibilities, priorities and timelines for providing these services are set out in the Action Plan.

### Strategic priorities

The Department has examined its internal and external environment to identify strategies to improve its service delivery. We have then developed initiatives to implement these strategies and thereby strengthen the delivery of services outlined above.

Key environmental factors we have identified include:

- tightened budgetary environment requiring more efficient allocation of resources;
- creation of the Department of Parliamentary Services (DPS) requiring on-going reorganisation of the internal structure, planning, reporting and strategic priorities of both DPS and the Department of the Legislative Assembly;
- developing communication technology providing new opportunities to communicate with the community, members and electorate offices and to improve business processes;
- the changing nature of our workforce;
- the results of our surveys of the members, Parliamentary House staff and electorate officers; and
- increased recognition of the importance of involving all staff in planning in a knowledge dependent environment.

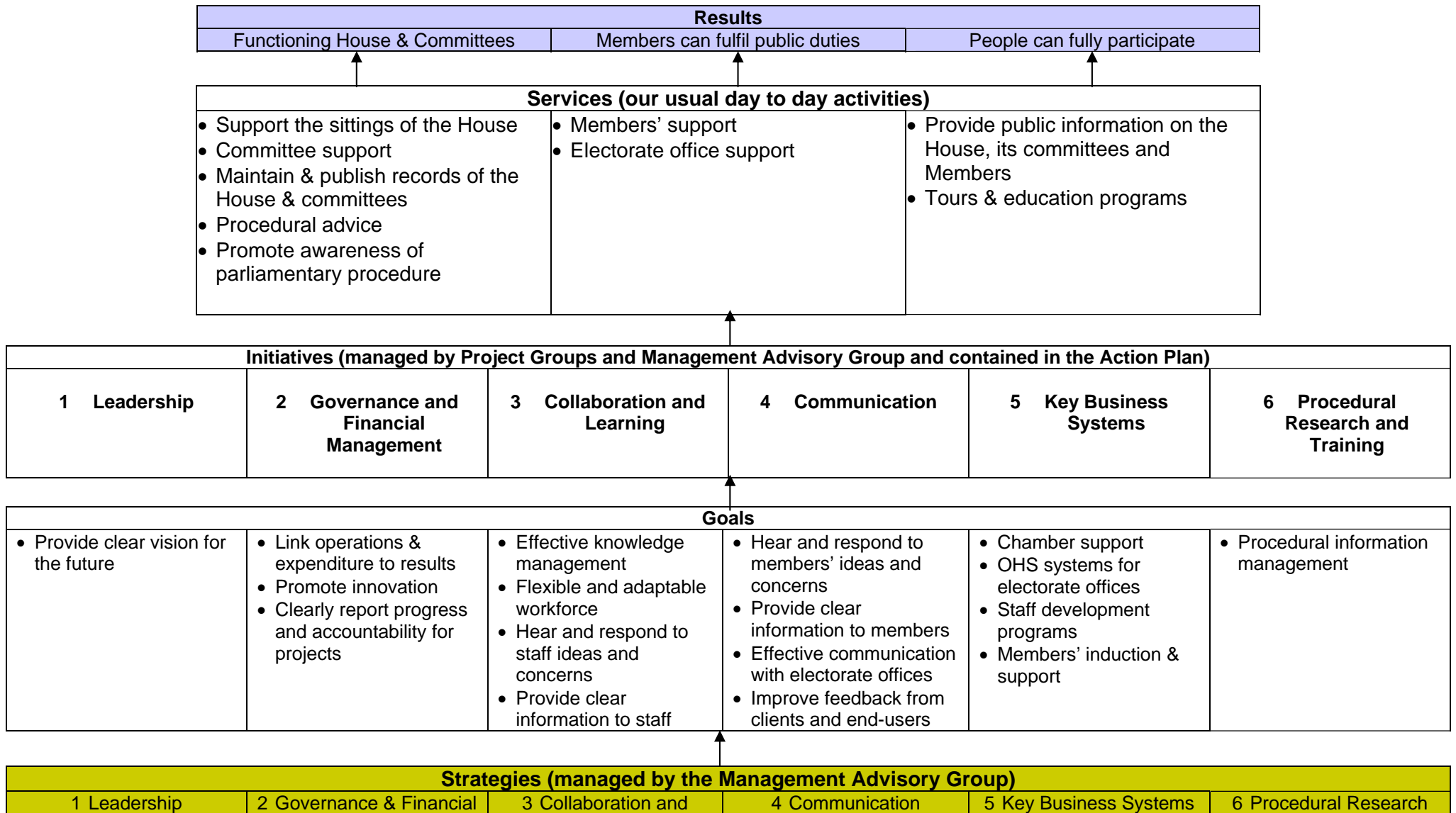
To build its capacity to deliver services to the Legislative Assembly, its members and the community within this environment, the Department has identified the following strategies:

- improving the Department's governance and financial management systems;
- promoting collaboration, communication and learning among its staff;
- developing more effective client communication systems; and
- improving key business systems.

Initiatives that will help us in advancing these strategies have been developed.

A detailed Action Plan comprising the priority projects to be completed for 2010 will be developed by the Management Advisory Group and allocated to Project Teams drawn from across the Department.

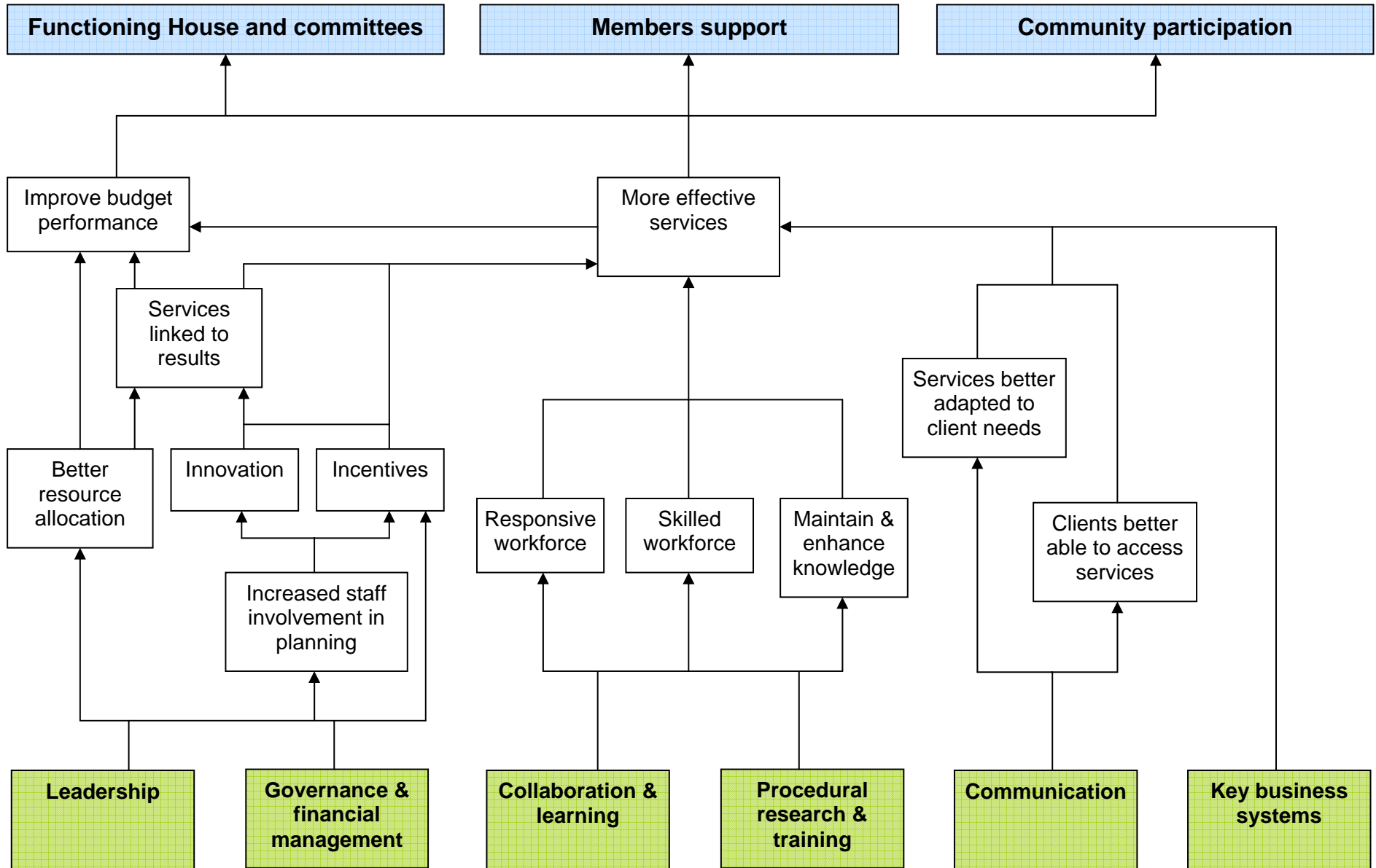
**Strategic Plan Diagram**



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	Management	Learning			and Training
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Results logic for strategies





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## Our indicators

Our indicators are the measures that we use to work out how well we are succeeding as a Department. They can be grouped as follows:

- Customer satisfaction levels (including members, committees, the Executive and the community).
- Timely production of goods and services;
- Accuracy of advice and information;
- Provision of information and access to the community;
- Ethical and transparent service provision;
- Workload measures (including number of sitting days/hours; number of committees supported; number of tours of the Legislative Assembly etc); and
- Performance against budget.

We survey our members and or staff both at Parliament House and in the electorate offices with a range of questions which assist in evaluating the above indicators.

In addition, we also collect statistics on an ongoing basis which assists us in evaluating the following workload and performance measures, some of which are reported on in our annual report.

### RESULT AREA 1: Effective functioning of the House and its committees

<b>Indicator</b>	<b>Measure</b>
<b>Quality</b>	
Members satisfaction	Satisfaction levels at or above 8/10 in the annual survey of Members
Proportion of bills accurately processed to assent stage	Number of bills not requiring revision
Assembly bills forwarded for assent to Governor	Assembly Bills are forwarded for assent within 2 days of passing
Bills database is kept up to date	Assembly Bills are updated on website within half an hour of change in status in the House
Votes and Proceedings is an accurate record	Percentage of revised Votes
Business Paper is an accurate record	Percentage of revised Business Papers

Questions and Answers Paper is accurate	Percentage of revised Questions and Answers Papers
<b>Timeliness</b>	
Questions and Answers Paper published	Published before the House sits the next day during sittings and during the recess
Statutory Rules and Instruments Paper is produced	Published in accordance with timetable
Bound volumes of the House proceedings	Published within 6 months of the end of each Parliament
Votes and Proceedings are published	Draft version updated hourly on the intranet/internet and final version published within half an hour of the House rising.
Business Paper is published	Published within half an hour of the House rising.
<b>Quantity</b>	<b>Measures in each case are numbers of...</b>
Statutory instruments processed	
Tabled papers processed	
Sittings days	
Hours of sittings	
Average hours per sitting	
Bills introduced into the Assembly	
Bills passed by the House	
Amendments to bills processed	
Amendments to motions dealt with	
Answers to questions on notice	
Petitions presented	
Petitions signed by 500 or more persons processed	
Written advices to the Speaker	
Committees operating	
Committees meeting	
Committee hearings	
Committee witnesses	
Committee submissions	
Responses to ANZACATT and Canadian list server questions	
Procedural briefing papers prepared	
Conference papers prepared	
Responses to (non list server) inquiries from Australian parliaments	
Responses to inquiries from overseas parliaments	
Rulings drafted for the Speaker	
Formal advice to the Speaker and Members	

RESULT AREA 2: Members are supported to fulfil their Parliamentary roles

<b>Indicator</b>	<b>Measure</b>
<b>Quality</b>	
Survey of Members and electorate office staff	Satisfaction levels at or above 8/10 in the annual surveys of Members and electorate officers
Fit outs completed	Completed in accordance with the specifications document
Electorate offices meet Assembly standards and policies, ie OHS, disabled access, design, security, size and accommodation, equipment	Standards met
Lease and fit outs comply with	Specifications manual requirements complied with
<b>Timeliness</b>	
Fit outs completed on time and within budget	Percentage not completed within set time frame or on budget
Property maintenance matters arranged to be completed	<i>Metropolitan offices</i> Urgent – same day Non urgent – within a week <i>Rural and regional offices</i> Urgent – same day Non urgent – within a week
Lease actions completed within time frames set	Percentage not completed within time set or on budget
Requests (non maintenance) matters arranged to be completed	<i>Metropolitan offices</i> Urgent – same day Non urgent – within a week <i>Rural and regional offices</i> Urgent – same day Non urgent – within a week
<b>Quantity</b>	<b>Measures in each case are numbers of...</b>
Maintenance and service issues completed	
Room bookings made	
Lease actions	
Fit outs	
Furniture replacement issues completed	

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RESULT AREA 3: The community has access to the Parliament so that the people can fully participate in its processes.

<b>Indicator</b>	<b>Measure</b>
<b>Quality</b>	
School group visits and tours	Feedback received or otherwise recorded
Support provided to Parliament House on open days	Recorded satisfaction or otherwise
<b>Timeliness</b>	
Web feedback	Issues raised are responded to within XXX
<b>Quantity</b>	<b>Measures in each case are numbers of...</b>
Committee hearings	See Result Area 1
Committee witnesses	See Result Area 1
Committee submissions	See Result Area 1
Visiting delegations	
CPA advices provided	
Petitions processed	See Result Area 1
Conferences organised	
Community functions enquiries	
Speaking engagements	
School groups and community tour visits	

## Strategic Planning Cycle

<i>Month</i>	<i>Point in the cycle</i>	<i>Actions/comments</i>
<i>June</i>	Allocation of final budget to the Legislature.	Budget developed based on agreed action plan for circulation to managers for comment
	Action Plan drafted in light of budget implications	Managers meet to reach agreement on the final items for inclusion in forthcoming year's Action Plan and discuss with staff
	Conduct end of financial year review of performance and career development agreements for managers and staff	Clerk and managers to review performance and career development outcomes and provide feedback
<i>July</i>	Action Plan finalised	Clerk and managers sign off
	Quarterly report (4 <sup>th</sup> ) from preceding year and general staff meeting	Managers to report to Clerk on progress against the Action Plan and report to staff
	End-of-year review of financial position	Managers informed of end-of-year financial performance for the Department and individual sections' financial results
	Annual report	Plan developed and approved by Clerk for the writing of the report.
<i>August</i>	Develop new performance and career development agreements between office managers and staff	To be based on Action Plan and managers' agreements with the Clerk
	Member and employee opinion surveys undertaken.	

September	Management Group to agree on internal LA budget submission and on possible enhancement proposals	Office Managers to develop funding submissions to Clerk, outlining business cases for annual funding and possible additional resourcing – to include cost/benefit and risk management considerations.  Submissions approved by the Clerk are presented to Speaker for endorsement.
October	Department's annual report for previous financial year due – submission to the Speaker and tabling in the House (or out of session)	Report against outcomes
	Quarterly strategic report (1 <sup>st</sup> quarter) and general staff meeting	Managers to report to Clerk on progress against the Action Plan and report to staff
	Quarterly expenditure review (1 <sup>st</sup> quarter)	Management group to discuss expenditure result for first quarter of financial year
October (cont'd)	Budget forward allocation letter received from Treasury and invitation to lodge maintenance of effort and enhancements proposals.	Action Plan to be reviewed in the light of actual budget allocation
	Review Action Plan based on results from the surveys conducted in August.	
November	Parliament makes budget submission for next financial year (recurrent and asset acquisition)	
December	Review of DPS service standards	

January/February	Quarterly expenditure review (2 <sup>nd</sup> )	Management group to discuss expenditure result for second quarter of financial year
	Quarterly strategic report (2 <sup>nd</sup> ) and general staff meeting	Office Managers to report to Clerk on progress against the Action Plan and report to staff
	Decisions made about policies and programs to be reviewed in the coming calendar year as a result of the Members and staff surveys	
	Mid year review of performance and career development.	Managers to review individual staff agreements and Clerk to review managers.
March	Treasurer issues recurrent and capital allocation letter; agreement on internal budget distribution; briefing from Manager, Finance about budget directions and issues in the coming financial year	Confirm action plans in light of confirmation of budget allocation.
	Review capital expenditure allocated for spend to date	
April	Quarterly strategic report (3 <sup>rd</sup> ) and general staff meeting	Office Managers to report to Clerk on progress against the Action Plan and report to staff
	Quarterly expenditure review (3 <sup>rd</sup> )	Management group to discuss expenditure result for third quarter of financial year
	Annual review of risk management strategies and actions	
	Review strategic priorities and initial resourcing assumptions in light of actual budget position	Clerk to decide on funding priorities in the context of the Department's actual budget position to inform the completion of the Action Plan.
	Budget planning for individual offices finalised	
	Initial development of Action Plan commences	
May	Treasurer delivers budget	