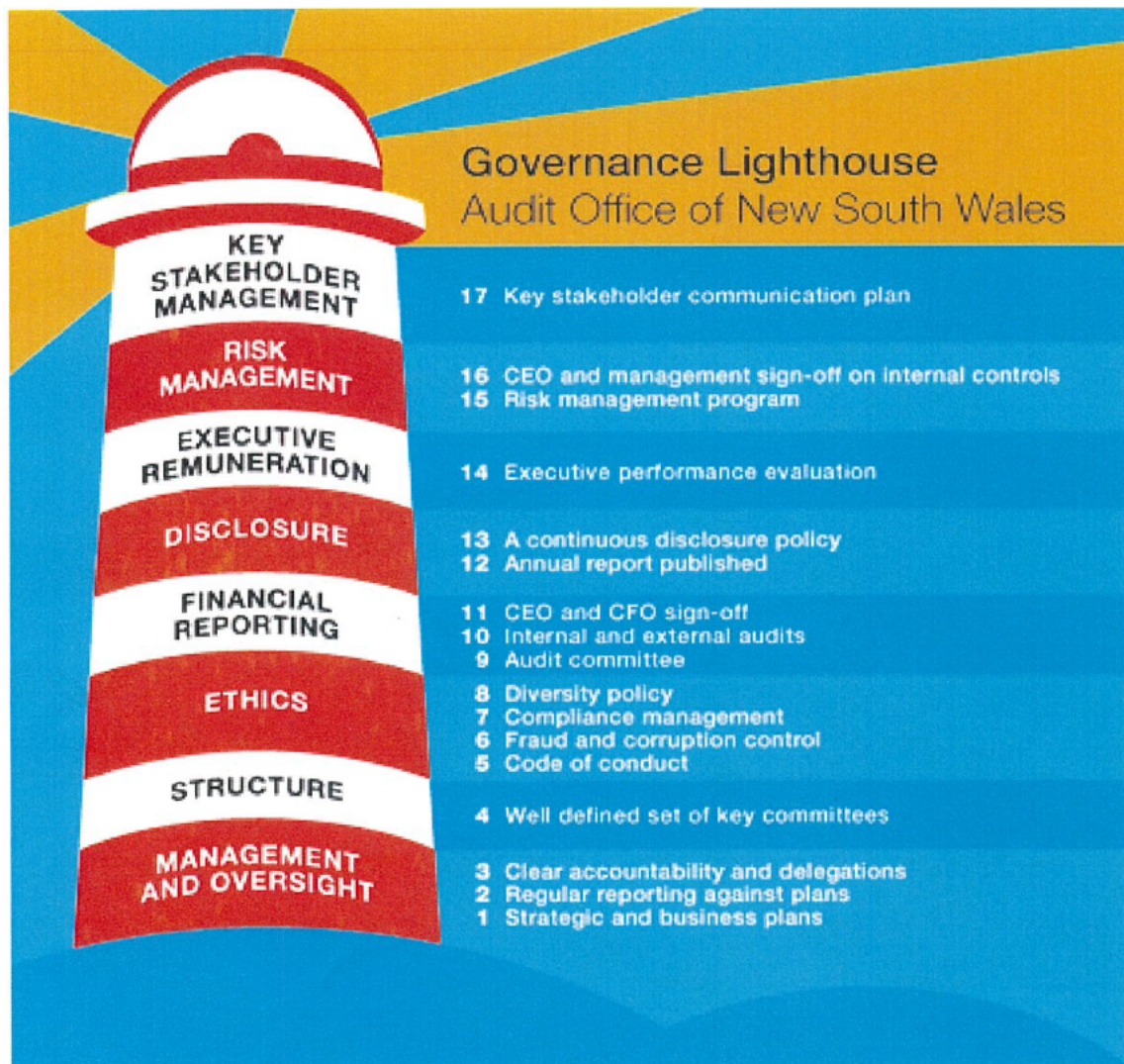


PERFORMANCE MEASURES AND ACCOUNTABILITY OF OVERSIGHT AGENCIES

Organisation: Information and Privacy Commission
Name: Ms Deirdre O'Donnell
Position: Information Commissioner
Date Tendered: Thursday 11 April 2013
Hearing Number: 1
Hearing Location: Waratah Room

Document Title: Governance Lighthouse
Author: Audit Office of New South Wales
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GOVERNANCE LIGHTHOUSE



The IPC wishes to acknowledge the above graphic is reproduced from
'17 Points to Better Practice Governance', Audit Office NSW,
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Corporate Governance – Strategic Early Warning System

DRAFT – APRIL 2013

GOVERNANCE LIGHTHOUSE

No	Governance point	Who	Financial year			
			Q1	Q2	Q3	Q4
	Management and oversight (accountability and leadership)					
1	A Strategic Plan 2013-16 is in draft form, will be signed off by the Commissioners, and published on the website	ED				X
	Team business plans are drafted, will be agreed by the Commissioners, Executive Director and Managers	ED/ Mgrs				X
	A service group statement, service measures, and financial indicators are provided in NSW Budget Estimates (Budget Paper 3) on an annual basis	CEO/ EO				X
2	Regular reporting against plans is made to the Commissioners and Executive Director; reports against plans are provided to key stakeholders at meetings (ARC, Parliamentary Committee)	ED		X		
	A monthly dashboard report is circulated to all staff and will be published on the website	EO	X	X	X	X
3	Staff are clear on accountabilities, authority and delegations (HR, Finance and Commissioner powers)	CEO, Csioners				
	Delegations are documented and regularly reviewed	CEO				X
	Structure to add value (accountability)					
4	Key committees responsible for high level direction and control are established and defined (ARC, IPAC and IPC Executive Team)	CEO				
	Members have the appropriate experience which meets legislative requirements	CEO				
	The ARC Chair and a majority of members are independent of management	CEO				
	Promote ethical and responsible decision-making (integrity & stewardship)					
5	The Code of Conduct signed by CEO, approved by appropriate committee members, reviewed annually. It is published on the portal which is accessible by all staff, and will be published on the website.	EO			X	
6	The DAGJ fraud and corruption control policy will be adopted, signed by the CEO and submitted for approval by the ARC	EO	X			
	The policy will be reviewed regularly and a plan for fraud control and corruption exposures prepared; a better practice internal audit will be programmed for 2013/14	EO/ CAE		X		
7	Procedures are in place to ensure that the agency complies with all relevant laws and government directions	CEO				
	There is a documented compliance register identifying all obligations, framework and policy that is signed by the CEO	EO				
	Regular reports against the register are made to the ARC	EO	X	X	X	X
8	DAGJ's gender diversity policy will be adopted by the IPC and signed by the CEO.	EO	X			
	The proportion of women employees is published in the annual report	EO/ MCCA	X			
	Safeguard integrity in financial reporting (stewardship)					
9	An Audit and Risk Committee is in place of 3 or more members, with an independent Chair and majority of members whose performance is regularly evaluated.	CEO				

GOVERNANCE LIGHTHOUSE

No	Governance point	Who	Financial year			
			Q1	Q2	Q3	Q4
10	There is an approved external audit function (the Audit Office NSW)	CEO				
	There is an approved annual internal audit plan based on addressing recognised risks, completed, reported and followed up each year	CAE	X			
11	The CEO and CFO sign-off of the financial report, and the management representation letter is signed and forwarded to the Audit Office. The ARC reviews the reports.	CEO/ EO	X			
	Make timely and balanced disclosure (integrity and transparency/openness)					
12	The Annual Report is published on time, delivered to the NSW Parliament, tabled in Parliament and published on the website, as specified in the <i>Annual Reports (Departments) Act 1985</i> and the <i>Annual Reports (Statutory Bodies) Regulation 2010</i>	MCCA	X			
13	An Open Government Plan and continuous disclosure policy (proactive release) will be signed by the CEO, available on the website, and reviewed annually	CEO, ED				X
	Executive remunerated fairly and responsibly (accountability)					
14	The Commissioners are appointed by the NSW Governor. Their remuneration is set by the Statutory and Other Officers Remuneration Tribunal (SOORT).	N/A				
	Recognise and manage risk (accountability)					
15	The risk management policy and framework have been signed by CEO, endorsed by the ARC, and will be reviewed annually.	EO			X	
	The risk register documents strategic and operational risks, is a standing item on the ARC agenda. Project risks are documented and reviewed on major capital projects.	EO	X	X	X	X
	The agency has a shared understanding of its risk appetite. Key risks are published on the monthly dashboard.	EO	X	X	X	X
16	The CEO and management sign-off on the adequacy of internal controls	CEO				
	Management representation letter has been signed by the CEO	EO	X			
	Senior management have signed off on the operation of internal controls	EO				
	Signed statement of adequacy of internal controls in the annual report	EO	X			
	Key stakeholder management (transparency/openness)					
17	Agency key stakeholders have been identified, and are listed in the Annual Report and other public documents	MCCA	X			
	There is a draft communication strategy that addresses the identified stakeholders, and will be reviewed annually	MCCA				X

Key:

C'sioners – The Information Commissioner and the Privacy Commissioner
 CEO – Chief Executive Officer
 CAE – Chief Audit Executive

ED – Executive Director
 EO – Executive Officer (Chief Financial Officer)
 MCCA – Manager Communications and Corporate Affairs