

Annual Reporting Review – Compliance Checklist

Section / Clause Name	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)	Where there has been an extension, particulars of extensions of time	ARSBA s13(5)	Where there has been an extension, particulars of extensions of time
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 agency sets out to do • Range of services provided • Clientele/community served 	ARSBR Sch.1	<ul style="list-style-type: none"> • What agency 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 and positions of officers as members of other significant statutory bodies and significant inter-departmental committees • Names, offices and qualifications of principal officers • Names of significant committees of the agency and names of committee members • List of significant committees established/abolished, and functions of such committees • 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 • Names of significant committees of the agency and names of committee members • List of significant committees established/abolished, and functions of such committees • Organisation chart indicating functional responsibilities

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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	PM 91-34 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 • Nature & purpose of the project including aims and target clients 	PM 91-34 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 • Nature & purpose of the project including aims and target clients
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 • 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 / deferrals / cancellations 	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 • 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 / deferrals / 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

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Human resources	ARDR Sch.1	<ul style="list-style-type: none"> • Number of officers and employees by category & compare 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 & compare to prior three years • Exceptional movements in wages, salaries or allowances • Personnel policies & practices • Industrial relations policies & practices
Consultants	PM 2002-07 ARDR Sch.1	<ul style="list-style-type: none"> • For each engagement costing equal to or greater than \$30,000: <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 \$30,000: <ul style="list-style-type: none"> - Total number of engagements - Total cost • Categorised by the nature of the consultancy, such as: Finance and accounting/tax; Information Technology; Legal; Management Services; Environmental; Engineering; Organisational Review; Training • Or a statement that no consultants used 	PM 2002-07 ARSBR Sch.1	<ul style="list-style-type: none"> • For each engagement costing equal to or greater than \$30,000: <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 \$30,000: <ul style="list-style-type: none"> - Total number of engagements - Total cost • Categorised by the nature of the consultancy, such as: Finance and accounting/tax; Information Technology; Legal; Management Services; Environmental; Engineering; Organisational Review; Training • Or a statement that no consultants used
Equal Employment Opportunity	TC 07/20 ARDR Sch.1 ARDR cl3A TC 08/08	<ul style="list-style-type: none"> • Major EEO outcomes during the reporting period accounting for planned outcomes set the previous year. • Major planned EEO outcomes for the following year, which reflect the agency's corporate priorities identified in planning documentation. • Table of trends in (A) representation and (B) distribution of EEO groups. Refer tables A and B Treasury Circular 02/17. • Small departments need only report on a triennial basis <p>For information on this requirement contact the Office of the Director of Equal Employment Opportunity (ODEOPE) on 9228 4444.</p>	TC 07/20 ARSBR Sch.1 ARSBR c19A TC 08/08	<ul style="list-style-type: none"> • Major EEO outcomes during the reporting period accounting for planned outcomes set the previous year. • Major planned EEO outcomes for the following year, which reflect the agency's corporate priorities identified in planning documentation. • Table of trends in (A) representation and (B) distribution of EEO groups. Refer tables A and B Treasury Circular 02/17. • Small statutory bodies need only report on a triennial basis <p>For information on this requirement contact the Office of the Director of Equal Employment Opportunity (ODEOPE) on 9228 4444.</p>

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Disability Plans	PSEMA Sch. 1 DSA s9 ARDR Sch.1	Statement setting out the progress in implementing disability plan if required under the Disability Services Act 1993 (only for those required per PSEMA)	PSEMA Sch. 1 DSA s9, ARSBR Sch.1	Statement setting out the progress in implementing disability plan if required under the Disability Services Act 1993 (only for those required per PSEMA)
Land Disposal	ARDR Sch.1	<ul style="list-style-type: none"> • Total number and total value of properties disposed of during the year • 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 Freedom of Information Act. 	ARSBR Sch.1	<ul style="list-style-type: none"> • Total number and total value of properties disposed of during the year • 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 Freedom of Information Act.
Promotion	ARDR Sch.1	<ul style="list-style-type: none"> • Types of publications/other information available to public on activities/functions • Those published during the year • Overseas visits by employees and officers with main purposes highlighted 	ARSBR Sch.1	<ul style="list-style-type: none"> • Types of publications/other information available to public on activities/functions • Those published during the year • 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
Guarantee of Service	ARDR Sch.1	If appropriate, standard for provision of services, with comment on any variances or changes made to standard	ARSBR Sch.1	If appropriate, standard for provision of services, with comment on any variances or changes made to standard
Payment of Accounts	TC 06/26 ARDR Sch.1	<ul style="list-style-type: none"> • Details of performance in paying accounts for each quarter: <ul style="list-style-type: none"> - 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) • Details of action taken to improve performance 	TC 06/26 ARSBR Sch.1	<ul style="list-style-type: none"> • Details of performance in paying accounts for each quarter: <ul style="list-style-type: none"> - 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) • Details of action taken to improve performance

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Time for Payment of Accounts	ARDR Sch.1; TC 06/26	Where interest was paid due to late payments, list of instances and reasons for delay which caused late payment	ARSBR Sch.1; TC 06/26	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
Disclosure of Controlled Entities	ARDR Sch.1	For each controlled entity: - Name, objectives, operations, activities - Performance targets and actual performance measures	ARSBR Sch.1	For each controlled entity: - Name, objectives, operations, activities - Performance targets and actual performance measures
Disclosure of Subsidiaries	PM 06-02	For each public sector subsidiary, the parent must: – 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: – 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.
Ethnic affairs priorities statement (EAPS)	ARDR Sch.1 ARDR c13A TC 08/08	<ul style="list-style-type: none"> • Statement setting out progress in implementing EAPS and key strategies for the following year • Information as to the EAPS of any bodies reporting to the agency • Small departments need only report on a triennial basis 	ARSBR Sch.1 ARSBR c19A TC 08/08	<ul style="list-style-type: none"> • Statement setting out progress in implementing EAPS and key strategies for the following year • Information as to the EAPS of any bodies reporting to the agency • Small statutory bodies need only report on a triennial basis

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Agreements with the Community Relations Commission	ARDR Sch.1	Description of any agreement entered into with Community Relations Commission under the <i>Community Relations Commission and Principles of Multiculturalism Act 2000</i> and statement setting out progress in implementing any agreement	ARSBR Sch.1	Description of any agreement entered into with Community Relations Commission under the <i>Community Relations Commission and Principles of Multiculturalism Act 2000</i> and statement setting out progress in implementing any agreement
Occupational Health and Safety	ARDR Sch.1	<ul style="list-style-type: none"> • Statement setting out OHS performance • Details of injuries and prosecutions under Occupational Health and Safety Act 2000 	ARSBR Sch.1	<ul style="list-style-type: none"> • Statement setting out OHS performance • Details of injuries and prosecutions under Occupational Health and Safety Act 2000
Waste	ARDR Sch.1 ARDR c13A TC 08/08	<ul style="list-style-type: none"> • Statement on implementation of government's Waste Reduction and Purchasing Policy and progress on: <ul style="list-style-type: none"> - Reducing generation of waste - Resource recovery - Use of recycled material • Small departments need only report on a triennial basis 	ARSBR Sch.1 ARSBR c19A TC 08/08	<ul style="list-style-type: none"> • Statement on implementation of government's Waste Reduction and Purchasing Policy and progress on: <ul style="list-style-type: none"> - Reducing generation of waste - Resource recovery - Use of recycled material • Small statutory bodies need only report on a triennial basis
Budgets	NA	NA	ARSBA s7(1)(iii) ARSBR c6-7	<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) -(ii)(a)	<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

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Inclusion of unaudited financial statements	ARDR c6	Unaudited financial information to be distinguished by note or otherwise	ARSBR c9	Unaudited financial information to be distinguished by note or otherwise
Additional matters for inclusion in annual reports	ARDR c5	<ul style="list-style-type: none"> • List of major assets (other than land holdings) highlighting major acquisitions during the year • First reporting year, copy of code of conduct for officers and employees <ul style="list-style-type: none"> - Second and subsequent years, amendments or replacement code • Statement of the action taken by the Department in complying with the requirements of the Privacy and Personal Information Protection Act 1998 (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. • Whether the report is available in non-printed formats (such as on CD-ROM) • The internet address at which the report may be accessed (disclosure of the department's homepage address is sufficient). 	ARSBR c8	<ul style="list-style-type: none"> • Statement of the action taken by the body in complying with the requirements of the Privacy and Personal Information Protection Act 1998 (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. • Whether the report is available in non-printed formats (such as on CD-ROM) • The internet address at which the report may be accessed (disclosure of the statutory body's homepage address is sufficient).
Investment performance	NA	NA	ARSBR c12; TC 09/07	<ul style="list-style-type: none"> • In the form of a comparison with a choice of "Hour Glass investment Facilities" from Treasury Corporation • Choice of comparison based on nature and term of underlying liability • Stated in terms of annual compound percentage rate of return

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	Liability management performance	NA	NA	ARSBR c13; TC 09/07
Exemptions	ARDR c13(4) ARDR c13A	<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"> - equal employment opportunity - ethnic affairs priorities statement - waste 	ARSBR c19(4) ARSBR c19A	<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"> - equal employment opportunity - ethnic affairs priorities statement - Waste
Performance and numbers of executive officers	ARDR c7,8	<ul style="list-style-type: none"> • Number of executive positions at each level for current & prior year • Number of female executive officers for current & previous reporting years • For each executive officer >= level 5 and a chief executive officer not holding an executive position: <ul style="list-style-type: none"> - A statement of performance by person responsible for their review, with regard to agreed performance criteria - Details of performance pay, and summary of criteria determining this - Name, title and remuneration package - Level 	ARSBR c11,14	<ul style="list-style-type: none"> • Number of executive positions at each level for current & prior year (or total number at equivalent to SES 1 pay or higher for SOCs) • Number of female executive officers for current & previous reporting years • For each executive officer >= level 5 (or equivalent pay for SOCs) and a chief executive officer not holding an executive position: <ul style="list-style-type: none"> - A statement of performance by person responsible for their review, with regard to agreed performance criteria - Details of performance pay, and summary of criteria determining this - Name, title and remuneration package - Level (except SOCs)
Freedom of Information Act	FOIA s68 FOIR s10 FOIM App. B ARDA s6(2)	<ul style="list-style-type: none"> • Statistical information per FOIM • Comparison with prior year requirement • Impact of activities on FOI requirements • Major issues arisen during year • Circumstances and outcomes of investigations or applications for review 	FOIA s68 FOIR s10 FOIM App. B ARSBA s5A(2)	<ul style="list-style-type: none"> • Statistical information per FOIM • Comparison with prior year requirement • Impact of activities on FOI requirements • Major issues arisen during year • Circumstances and outcomes of investigations or applications for review

Section / Clause Name	Departments		Statutory Bodies	
Implementation of Price Determination	IPARTA s18(4)	If agency subject to determination or recommendation of Tribunal then: - Statement that it was implemented and details of implementation; or - Reasons for not being implemented	IPARTA s18(4)	If agency subject to determination or recommendation of Tribunal then: - Statement that it was implemented and details of implementation; or - Reasons for not being implemented
Heritage management	HA s170A	<ul style="list-style-type: none"> • Information on the agency's register and compliance by the agency with any guidelines issued by the Heritage Council • Statement on the condition of the items on the agency's register and items and land to which a listing on the State Heritage Register applies that are under the care, control or management of the agency. 	HA S170A	<ul style="list-style-type: none"> • Information on the agency's register and compliance by the agency with any guidelines issued by the Heritage Council • Statement on the condition of the items on the agency's register and items and land to which a listing on the State Heritage Register applies that are under the care, control or management of the agency.
Electronic service delivery	PM 00-12	Status report on delivery of electronic services	PM 00-12	Status report on delivery of electronic services
Credit card certification	TD 205.01	Credit card certification to be attached	TD 205.01	Credit card certification to be attached
Requirements arising from employment arrangements	TC 06/13 ARDA s18(1)	Additional requirements, where Department provides personnel services to one or more statutory bodies – refer sections 7.1.1 and 7.2.1 of TC 06/13	TC 06/13 ARSBA s15(1)	Additional requirements, where statutory body receives personnel services from a Department or special purpose service entity -- refer sections 6.1, 7.1.2 and 7.2.2 of TC 06/13
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 c16	<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	<ul style="list-style-type: none"> • Not later than four months after year end • Submit to Treasurer at same time 	ARSBA s10	<ul style="list-style-type: none"> • Not later than four months after year end • Submit to Treasurer at same time
Presentation of annual report to Parliament	ARDA s13(1)	<ul style="list-style-type: none"> • Within one month after receipt by Minister • If late, statement by Minister 	ARSBA s11(1)	<ul style="list-style-type: none"> • Within one month after receipt by Minister • If late, statement by Minister

Section / Clause Name	Departments		Statutory Bodies	
Public availability of annual reports	ARDA s14; ARDR c12	<ul style="list-style-type: none"> • A copy of the annual report must be made publicly available on the Department's internet site or other relevant internet site as soon as practicable after the report is presented to Parliament. • Copies for public sale or distribution as soon as practicable after tabling • Available to others per Treasurer at a price no greater than average direct cost 	ARSBA s12; ARSBR c18	<ul style="list-style-type: none"> • A copy of the annual report must be made publicly available on the statutory body's internet site or other relevant internet site as soon as practicable after the report is presented to Parliament. • Copies for public sale or distribution as soon as practicable after tabling • Available to others per Treasurer at a price no greater than average direct cost
Annual reports size – presentation to Parliament	ARDR c11(1)	Size – ISO A4	ARSBR c17(1)	Size – ISO A4
Production costs	PM 98-4	Production costs to be kept to an absolute minimum	PM 98-4	Production costs to be kept to an absolute minimum
Printing requirements	PC 00-68; PM 00-15	Distribution of specific numbers of annual reports to various sections of government	PC 00-68; PM 00-15	Distribution of specific numbers of annual reports to various sections of government

Legislative References:

ARDA:	Annual Reports (Departments) Act 1985
ARDR:	Annual Reports (Departments) Regulation 2005
ARSBA:	Annual Reports (Statutory Bodies) Act 1984
ARSBR:	Annual Reports (Statutory Bodies) Regulation 2005
DSA:	Disability Services Act 1993
FOIA:	Freedom of Information Act 1989
FOIR:	Freedom of Information Regulation 2005
FOIM:	Freedom of Information Manual 1994
FRC:	Financial Reporting Code for Budget Dependent General Government Sector Agencies
HA:	Heritage Act 1977
IPARTA:	Independent Pricing and Regulatory Tribunal Act 1992
PC:	Premier's Circular
PM:	Premier's Memorandum
PF&AA:	Public Finance & Audit Act 1983
PPIPA:	Privacy and Personal Information Protection Act 1998
PSELAA:	Public Sector Employment Legislation Amendment Act 2006
PSEMA:	Public Sector Employment and Management Act 2002
TC:	Treasury Circular
TD:	Treasurer's Direction