



# 3

## People, community and environment

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# ASIC's people

## Building leadership capabilities

In 2011–12, we implemented a talent development and succession framework for Senior Executive Service and Executive Level 2 staff, to ensure we have leadership succession plans in key business areas.

Work done in 2011–12 included the establishment of a Talent Council as a way of demonstrating our commitment to managing our high-potential staff. We defined the critical experiences needed to develop the skills of our high-potential staff to ensure their success in the future, and linked these critical experiences to development plans.

We conducted the first phase of a leadership skills development program for senior managers (Executive Level 2). At year-end, 79 senior managers had completed the first phase of this program. Every participant received detailed feedback from peers, managers and direct reports, and feedback from an intensive one-day program designed to test specific leadership skills.

ASIC is integrating the Australian Public Service Integrated Leadership System into its leadership development activities. During the year, we also offered a full program of management development courses for staff at management level or wishing to move into management roles.

## Developing our new values

We revised our values, which are Accountability, Professionalism and Teamwork, through a consultative approach across ASIC. An essential part of the process was listening to our staff views as part of the 2011 Pulse Staff Survey and conducting focus groups nationally, with over 100 staff participating.

Our new values provide an understanding of who we are as an organisation and what we do, and guide us as we work collaboratively to achieve our strategic objectives.

The new values sit alongside our strategic priorities and our new employer value proposition, 'For Good Reason'. ASIC's proposition describes what is unique about our employment offering, reflecting what attracts people to work at ASIC and why they stay.

## Focus on diversity

As part of our ongoing commitment to promoting and supporting diversity in the workplace, we continued to embed our Women in ASIC program, enabling women to better work towards their career goals while maintaining a work/life balance. Key initiatives included seminars on flexible work practices and quarterly Keeping You Connected events for women on maternity leave.

ASIC participates in the Women In Law Enforcement Strategy (WILES) program, enhancing the development of women in law enforcement roles through establishing 12-month mentoring relationships with Senior Executive Officers in other agencies.

Information on our performance under the Commonwealth Disability Strategy can be found in the *State of the Service Report* and the *APS Statistical Bulletin*, available at [www.apsc.gov.au](http://www.apsc.gov.au).

## Focus on workplace safety

ASIC took the introduction of new work and safety laws on 1 January 2012 as an opportunity to reinvigorate its approach to health and safety at all levels of the organisation. The *Work Health and Safety Act 2011* creates changes relating to primary duty of care, duty holders and their due diligence requirements. It also changes management of risk, consultation and incident notification.

In response, all ASIC staff undertook mandatory online training on work health and safety. We also ran awareness-raising sessions with Senior Executive Leaders and Senior Managers, and increased the number of health and safety representatives undertaking training on issues including hazard inspection and ergonomics.

To improve safety, ASIC completed risk and ergonomic assessments at all sites, provided flu vaccinations, maintained work health and safety committees and provided education on mental health. Further, we continued to focus on the rehabilitation of injured employees to reduce their time away from work.

### Performance payments, 2011–12, by classification<sup>1</sup>

Classification	No. of recipients	Aggregate	Payment range		Average
			Minimum	Maximum	
ASIC 4	144	\$498,741	\$46	\$18,608	\$3,463
Exec 1	430	\$2,261,292	\$715	\$19,048	\$5,259
Exec 2	497	\$3,984,037	\$476	\$24,687	\$8,016
SES	47	\$867,519	\$5,489	\$37,944	\$18,458
<b>Total</b>	<b>1,118</b>	<b>\$7,611,589</b>	<b>\$46</b>	<b>\$37,944</b>	<b>\$6,808</b>

<sup>1</sup> Includes payments for the 2010–11 performance year which were paid in 2011–12, plus pro rata payments for the 2011–12 performance year for staff who left ASIC in 2011–12.

### Industrial arrangements for ASIC staff as at 30 June 2012

Classification	ASIC Act s120(3) contract	AWA <sup>1</sup>	EA	Total
ASIC 1	–	–	58	58
ASIC 2	–	–	276	276
ASIC 3	–	–	293	293
ASIC 4	–	–	400	400
Exec 1	–	–	477	477
Exec 2	–	–	530	530
SES	23	16	3	42
<b>Total</b>	<b>23</b>	<b>16</b>	<b>2,037</b>	<b>2,076</b>

<sup>1</sup> Australian Workplace Agreement.

### Salary ranges per annum, 2011–12

Classification	Minimum per annum	Maximum per annum
ASIC 1	\$39,975	\$44,182
ASIC 2	\$46,489	\$55,619
ASIC 3	\$59,258	\$67,926
ASIC 4	\$70,907	\$80,272
Exec 1	\$92,924	\$107,486
Exec 2	\$105,266	\$147,505
SES	\$147,505	\$291,482

# ASIC's people continued

## ASIC employees, by location<sup>1,2</sup>

Classification	Vic.		NSW		Qld		WA		
	2011-12	2010-11	2011-12	2010-11	2011-12	2010-11	2011-12	2010-11	
Chair			1	1					
Deputy Chairman			1	1					
Member	2	2	1	2					
SES	12	11	27	29	1	2	1	2	
Exec 2	138	142	227	221	35	39	26	27	
Exec 1	107	115	194	180	42	41	32	39	
ASIC 4	134	122	126	139	37	43	20	22	
ASIC 3	119	145	65	74	27	39	11	15	
ASIC 2	153	195	19	29	14	16	8	12	
ASIC 1	26	38			1		1		
Contractors <sup>3</sup>	1	1	19	26	1	4			
<b>Total</b>	<b>692</b>	<b>771</b>	<b>682</b>	<b>702</b>	<b>158</b>	<b>184</b>	<b>98</b>	<b>117</b>	

1 Average number over 12 months on FTE basis.

2 Includes staff at the Superannuation Complaints Tribunal and the Companies Auditors and Liquidators Disciplinary Board.

3 Includes non-payroll contractors, secondments and agency staff.

Note: Data rounded – some totals and subtotals may vary.

## Commissioners, by gender<sup>1</sup>

Classification	Ongoing full-time				Ongoing part-time				
	Female		Male		Female		Male		
	2011-12	2010-11	2011-12	2010-11	2011-12	2010-11	2011-12	2010-11	
Chairman									
Deputy Chairman									
Member									
Appointee total									

1 Average number over 12 months on FTE basis.

	SA		ACT		Tas.		NT		Total	
	2011-12	2010-11	2011-12	2010-11	2011-12	2010-11	2011-12	2010-11	2011-12	2010-11
									1	1
									1	1
									3	4
	2	2	2	1	1	1			46	48
	10	13	5	4	8	6			448	452
	16	18	3	5	4	4	1	2	400	403
	17	19	4	5	2	2			340	352
	10	17	2	3	2	3	2	2	239	297
	12	8	4	3	2	2			211	266
									28	38
									22	31
	67	77	21	21	18	18	3	4	1,738	1,893

	Non-ongoing full-time				Non-ongoing part-time				Total	
	Female		Male		Female		Male			
	2011-12	2010-11	2011-12	2010-11	2011-12	2010-11	2011-12	2010-11	2011-12	2010-11
			1	1					1	1
	1	1							1	1
			3	4					3	4
	1	1	4	5					5	6

# ASIC's people continued

## Employees under ASIC Act, by gender<sup>1,2</sup>

Classification	Ongoing full-time				Ongoing part-time				
	Female		Male		Female		Male		
	2011-12	2010-11	2011-12	2010-11	2011-12	2010-11	2011-12	2010-11	
Exec 1			1	1					
SES	3	2							
Contractors <sup>3</sup>									
ASIC Act total	3	2	1	1					

1 Average number over 12 months on FTE basis.

2 Includes staff at the Superannuation Complaints Tribunal and the Companies Auditors and Liquidators Disciplinary Board.

3 Includes all non-payroll IT contractors, secondments and agency staff.

## Employees under *Public Service Act 1999*, by gender<sup>1,2</sup>

Classification	Ongoing full-time				Ongoing part-time				
	Female		Male		Female		Male		
	2011-12	2010-11	2011-12	2010-11	2011-12	2010-11	2011-12	2010-11	
ASIC 1	6	7	1	3	3	4			
ASIC 2	103	119	34	45	50	63	4	4	
ASIC 3	130	156	69	96	16	17	1		
ASIC 4	163	161	120	127	27	31	2	4	
Exec 1	140	144	200	203	32	33	4	2	
Exec 2	130	126	234	234	43	51	9	10	
SES	5	4	9	11	3	1			
Public Service Act total	676	717	668	719	174	200	19	20	

1 Average number over 12 months on FTE basis.

2 Includes staff at the Superannuation Complaints Tribunal and the Companies Auditors and Liquidators Disciplinary Board.

## Combined totals for Commissioners, and employees under ASIC Act and under *Public Service Act 1999*, by gender<sup>1</sup>

Classification	Ongoing full-time				Ongoing part-time				
	Female		Male		Female		Male		
	2011-12	2010-11	2011-12	2010-11	2011-12	2010-11	2011-12	2010-11	
Total	679	719	669	720	174	200	19	20	

1 Average number over 12 months on FTE basis.

Note: Data rounded – some totals and subtotals may vary.

	Non-ongoing full-time				Non-ongoing part-time				Total	
	Female		Male		Female		Male			
	2011-12	2010-11	2011-12	2010-11	2011-12	2010-11	2011-12	2010-11	2011-12	2010-11
									1	1
	7	9	18	21					28	32
	8	8	14	19		1		3	22	31
	15	17	32	40		1		3	50	64

	Non-ongoing full-time				Non-ongoing part-time				Total	
	Female		Male		Female		Male			
	2011-12	2010-11	2011-12	2010-11	2011-12	2010-11	2011-12	2010-11	2011-12	2010-11
	11	10	3	4	4	10		1	28	38
	12	26	4	4	4	3	2	1	211	266
	11	20	10	8		1			239	297
	21	15	5	10	2	4			340	352
	6	7	10	11	2		5	3	399	403
	9	9	22	17	1	2	1	3	448	452
			1						18	16
	70	87	55	54	13	20	8	8	1,682	1,824

	Non-ongoing full-time				Non-ongoing part-time				Total	
	Female		Male		Female		Male			
	2011-12	2010-11	2011-12	2010-11	2011-12	2010-11	2011-12	2010-11	2011-12	2010-11
	86	105	91	99	13	21	8	11	1,738	1,893

## ASIC in the community

ASIC launched its community investment program, 'ASIC in the Community' in July 2007. In the five years since, the program has gone from strength to strength.

### Workplace giving and fundraising

ASIC employees are among the most generous in the public service. In 2011–12, 10% of ASIC employees donated a total of \$98,669 to 27 not-for-profit organisations through their pay, making ASIC's workplace-giving scheme one of the largest in the Australian Public Service.

Part of the workplace-giving program involves ASIC hosting speeches from inspirational Australians from the third sector or government. Employees often choose to support these organisations through the workplace-giving program; even if they choose not to donate, the speeches reinforce employee engagement and raise awareness of philanthropy.

This year's speakers included:

- ♦ Dr Charlie Teo, the world-renowned neurosurgeon and founder of the Cure For Life Foundation
- ♦ 2011's Australian of the Year Simon McKeon and Lifeline National Patron John Brogden, who discussed philanthropy and mental health

- ♦ The Rt Hon Malcolm Fraser AC CH and UNICEF CEO Norman Gillespie, who discussed Australia's role in aid and development
- ♦ Dr Megan Davis, Professor of Law and Director of the Indigenous Law Centre at the University of New South Wales, who discussed being part of the Expert Panel on the Recognition of Aboriginal and Torres Strait Islander Peoples in the Australian Constitution.

A further \$36,296 was raised by ASIC staff through fundraising events and activities throughout the year. Highlights included:

- ♦ a scavenger hunt in Melbourne, which raised \$5,691 for ASIC's supported not-for-profit organisations
- ♦ ASIC's annual Pink Ribbon Day morning teas across the country, which raised \$5,139
- ♦ a sport-themed fundraising event, which raised \$5,000
- ♦ employees participating in the Leukaemia Foundation Shave for a Cure raised \$3,546
- ♦ a trivia quiz and scavenger hunt in Sydney, which raised \$3,212 for the Cure for Life Foundation.

Combined with the workplace-giving scheme, the total donated to not-for-profit organisations by ASIC staff was \$134,965. This was \$7,750 more than in 2010–11.



ASIC in the Community is driven by the passion and talent of ASIC employees. Its aims are to benefit the community and environment through cash, time and in-kind support; and to enhance the business by improving employee engagement and skills and bolstering ASIC's reputation.

ASIC in the Community is made up of three main elements:

- ♦ workplace giving and fundraising
- ♦ volunteering and pro bono work
- ♦ reducing our impact on the environment (see pages 65–66)

## Volunteering and pro-bono work

Nine per cent of employees made use of ASIC's approved volunteering leave (one day per year) in 2011–12. Highlights included:

- ♦ Perth and Melbourne employees volunteered at Red Cross Breakfast Clubs, which provide healthy breakfasts for primary school children in areas of greatest need
- ♦ Sydney employees volunteered at the Exodus Foundation's meals and literacy support programs
- ♦ Traralgon employees helped the Latrobe Valley Meals on Wheels program
- ♦ Employees nationwide provided 63 knitted wraps to the 'Wrap with Love' initiative, which provides warm clothing to people in disaster-stricken countries and regions. This was the equivalent of an experienced knitter working for 2,772 hours.

Forty-six ASIC lawyers in Sydney, Brisbane, Perth and Melbourne also provided pro bono legal services to the National Children's and Youth Law Centre Lawstuff cyber program. This is a community legal centre dedicated to addressing human rights issues for children and young people in Australia.



*Lawyer Wasim Salehi doing voluntary work at the Exodus Foundation in Sydney.*

# Indigenous awareness and action at ASIC



*During her Jawun secondment at Warmun, in the Kimberley region, ASIC's Jenelle Sowerby developed a governance framework for the council, working with community members including council member, elder and renowned artist Shirley Purdie.*

Aboriginal and Torres Strait Islander people are one of ASIC's key stakeholder groups. We are committed to developing programs, resources and policies to provide services to Aboriginal and Torres Strait Islander consumers and investors in a manner that is equitable, responsive and relevant to their needs.

These include our Reconciliation Action Plan (RAP) and an Indigenous Employment Strategy. Both have been in effect since 2009. ASIC has also developed the Indigenous Outreach Program which focuses on responding to and addressing the needs of Indigenous consumers in their interactions with financial services, and raising awareness of these issues within ASIC.

In August 2012 we published and promoted our second RAP, which aims to build on an already-diverse workforce by fostering responsive partnerships with Aboriginal and Torres Strait Islander consumers and communities. This includes increasing employment opportunities.

In 2011–12 ASIC joined the Department of Education, Employment and Workplace Relations Indigenous Cadetship program. The program aims to provide real-world experience in a relevant field to Aboriginal and Torres Strait Islander university students while they are undertaking their studies. Each cadet completes 12 weeks' work per year while studying full-time at university. ASIC is committed to taking on one Indigenous cadet in 2012. The cadet will rotate throughout stakeholder teams across ASIC to provide them with a broad

understanding of our work. In 2011–12, we also registered with the Australian Indigenous Minority Suppliers Council, which provides a direct purchasing link between Australian corporations and government organisations and Indigenous-owned businesses.

This year's ASIC in the Community program included events to mark the National Aboriginal and Islander Day of Celebration (NAIDOC) and guest speakers on topical issues such as constitutional recognition of Indigenous Australians, to promote wider understanding and acceptance of the place of Indigenous culture in ASIC.

An exciting initiative in 2011–12 was the introduction of secondment opportunities for ASIC staff with Jawun Indigenous Corporate Partnerships. This organisation forms partnerships between corporations and Indigenous communities by seconding individual employees from across corporate Australia to assist with specific projects or work.

In November–December 2011, People and Development Relationship Manager Jenelle Sowerby undertook a five-week secondment in the remote Kimberley community of Warmun, where she worked on the development of a governance framework for the community council. Following the success of this first secondment with Jawun, ASIC will continue to offer staff the opportunity for secondment to the Jawun program in 2012–13.

# Environmental performance

ASIC is committed to monitoring its environmental performance, meeting relevant reporting requirements including those under section s516a of the *Environment Protection and Biodiversity Conservation Act 1999* (EPBC Act), and to improving its performance on a range of environmental measures through behavioural and technological change. A key objective is to raise awareness among staff so they can contribute to improving ASIC's environmental performance.

## Summary

In 2011–12, ASIC continued to reduce its carbon footprint and consumption of energy and to improve waste disposal and recycling across its offices. A range of other environmental practices are now in place including the use of lighting sensors, timers and recyclable goods, and ASIC is taking steps to reduce packaging by implementing the Australian Government's Australian Packaging Covenant Action Plan.

## Key statistics

The table below summarises ASIC's energy consumption and its performance against the Energy Efficiency in Government Operations Policy target of electricity consumption of 7,500 MJ or less per person.

ASIC will report on additional measures of environmental performance in subsequent years, based on available data. We have initiated negotiations with our landlords to obtain water, waste and recycling measurement data. This process has been established in Sydney, Melbourne and Canberra and negotiations with the remaining sites will continue during 2012–13.

## Environmental performance in detail

### Energy efficiency

Energy consumption at ASIC's Sydney office is monitored quarterly and steps are being taken to improve the National Australian Built Environment Rating System (NABERS) energy rating of our tenancy. Following a review in February 2012, 25% more 'green power' was purchased for the remainder of 2011–12. The aim is to achieve a 4.5 NABERS Energy Star rating by 2013–14 without using any green power to offset performance.

Tenancy lighting has been linked to the security system. This approach ensures that lighting is reduced to a minimum level when the building is not occupied. Motion and thermal sensors have been installed in all full-height environments, including offices, meeting rooms, breakout spaces and store rooms. We are also taking steps to eliminate lamps and under-desk appliances.

### ASIC energy consumption, 2009–10 to 2011–12

Descriptor	2011–12	% change from 2010–11	2010–11	2009–10
Light and power – ASIC tenancies (kWh)	4,536,095	-9%	4,982,162	4,998,401
MJ per person	7,840	-8%	8,493	7,892
Light and power – ASIC computer centres (kWh)	1,197,011	-13%	1,368,348	1,428,698
MJ per m <sup>2</sup>	7,698	-3%	7,928	6,628
Transport energy (GJ)	633	-3%	653	803

In addition, sensors have been adjusted to reduce power consumption in open-plan areas, offices and meeting rooms within Sydney, and alterations were made to the air-conditioning range in meeting rooms. ASIC is now proposing to extend this strategy across its property portfolio.

Similar strategies will be rolled out to other sites wherever possible during 2012–13. We are also conducting energy and lighting audits at our larger offices to identify further energy savings.

Better balancing air-conditioning units in ASIC's computer rooms in Brisbane and Sydney has enabled two high-voltage air conditioners (HVAC) to be turned off. Similar work was performed in Traralgon, resulting in two of seven air-conditioning units being switched off.

During 2012–13, a NABERS energy assessment will be undertaken in the Brisbane office, following completion of a major refurbishment of the building in July 2011. ASIC has also signed up to the 10% Challenge, aimed at reducing energy use and carbon emissions by that amount.

## **Waste**

ASIC has reduced paper consumption from 18 reams per person in 2010–11 to 14 reams per person in 2011–12 through the implementation and increased uptake of its Electronic Content Management record-keeping system. Our Melbourne and Sydney offices have also introduced recycled stationery cabinets to reduce the cost of consumables and waste going to landfill.

Recycling arrangements have been established in all ASIC offices for paper and co-mingled products. Negotiations with landlords have commenced with regard to obtaining accurate reporting on quantities. Further, ASIC is currently procuring secure waste destruction services nationally. As part of that process, we expect to gain more accurate paper recycling data in the future.

## **Water**

Due to the structure of its tenancies, ASIC has limited capacity to measure its water consumption.

In Sydney, the building owner has advised that the use of grey water for flushing toilets should be operational by September 2012 (pending licensing

approval from relevant authorities). The water pressure to all bathroom outlets has also been reduced to cut water consumption.

In Traralgon, the office building owner has installed pressure reduction valves on water mains and reduced water supply flow on toilets. Waterless urinals and flow restrictors on all taps have been included by the owner of ASIC's building in Melbourne. The Melbourne building provides a rainwater capture system with on-site capacity of 35,200 litres.

## **Information technology**

New printing and copying devices are being rolled out across all ASIC offices. These devices will reduce power consumption as well as paper and toner usage by providing double-sided printing as a default, automatically deleting uncollected print jobs and supporting long-life cartridges. They are built from bio-based and recycled plastics to further reduce their environmental impact.

Further information technology initiatives are planned for 2012–13, including the automatic shutdown of desktops outside core business hours.

## **Travel**

The Australian Government has set a target of 28% of all fleet vehicles achieving a Green Vehicle Guide rating of 10.5 or better. Ninety-four per cent of ASIC's fleet meets this target, with half the fleet being hybrid vehicles.

ASIC trialled a shared vehicle hire program in Sydney and Melbourne this year in conjunction with its existing fleet arrangements which gave ASIC greater access to low-emission vehicles.

## **Property**

ASIC is committed to ensuring that sustainability measures are included in its lease agreements. As of June 2012, 75% of our property leases featured sustainable initiatives and recently negotiated property leases in Brisbane and Sydney contain the Department of Climate Change and Energy Efficiency model Green Lease Schedule.

ASIC's new office in the ACT is a 4.5 star NABERS-rated building. The building's design allows for natural light to penetrate into the entire tenancy from three aspects.