## Glossary

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<tr>
<th>Term</th>
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<tr>
<td>AA Fund</td>
<td>Assetless Administration Fund</td>
</tr>
<tr>
<td>ABR</td>
<td>Australian Business Register</td>
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<tr>
<td>ABRs</td>
<td>Australian Business Registry Services</td>
</tr>
<tr>
<td>ABS</td>
<td>Australian Bureau of Statistics</td>
</tr>
<tr>
<td>ACCC</td>
<td>Australian Competition and Consumer Commission</td>
</tr>
<tr>
<td>ACCP</td>
<td>ASIC Consumer Consultative Panel</td>
</tr>
<tr>
<td>ACER</td>
<td>Australian Council of Educational Research</td>
</tr>
<tr>
<td>AFCA</td>
<td>Australian Financial Complaints Authority</td>
</tr>
<tr>
<td>AFP</td>
<td>Australian Federal Police</td>
</tr>
<tr>
<td>AFS licence</td>
<td>Australian financial services licence</td>
</tr>
<tr>
<td>ALRC</td>
<td>Australian Law Reform Commission</td>
</tr>
<tr>
<td>AMP</td>
<td>AMP Limited</td>
</tr>
<tr>
<td>ANZ</td>
<td>Australia and New Zealand Banking Group Limited</td>
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<tr>
<td>APRA</td>
<td>Australian Prudential Regulation Authority</td>
</tr>
<tr>
<td>APRC</td>
<td>Asia-Pacific Regional Committee</td>
</tr>
<tr>
<td>APS</td>
<td>Australian Public Service</td>
</tr>
<tr>
<td>ASIC Act</td>
<td>Australian Securities and Investments Commission Act 2001</td>
</tr>
<tr>
<td>ASX</td>
<td>ASX Limited or the exchange market operated by ASX Limited</td>
</tr>
<tr>
<td>ATO</td>
<td>Australian Taxation Office</td>
</tr>
<tr>
<td>AUSTRAC</td>
<td>Australian Transaction Reports and Analysis Centre</td>
</tr>
<tr>
<td>Better Advice Act</td>
<td>Financial Sector Reform (Hayne Royal Commission Response—Better Advice) Act 2021</td>
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<tr>
<td>BoQ</td>
<td>Bank of Queensland</td>
</tr>
<tr>
<td>BRII</td>
<td>Business Research and Innovation Initiative</td>
</tr>
<tr>
<td>CADB</td>
<td>Companies Auditors Disciplinary Board</td>
</tr>
<tr>
<td>CBA</td>
<td>Commonwealth Bank of Australia</td>
</tr>
<tr>
<td>CCIV</td>
<td>Corporate collective investment vehicle</td>
</tr>
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<td>CDPP</td>
<td>Commonwealth Director of Public Prosecutions</td>
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<tr>
<td>CFR</td>
<td>Council of Financial Regulators</td>
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<tr>
<td>CHESS</td>
<td>ASX Clearing House Electronic Subregister System</td>
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<td>COO</td>
<td>Chief Operating Officer</td>
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<td><strong>Corporate Plan</strong></td>
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<td>Corporations Act 2001</td>
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<td>Cost Recovery Implementation Statement</td>
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<td>Cash Settlement Fact Sheet</td>
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<td>DeFi</td>
<td>Decentralised finance</td>
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<td>DFAP</td>
<td>Digital Finance Advisory Panel</td>
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<td>DIRRI</td>
<td>Declaration of Independence, Relevant Relationships and Indemnities</td>
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<td><strong>EDR</strong></td>
<td>External dispute resolution</td>
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<td><strong>ERS</strong></td>
<td>Enhanced regulatory sandbox</td>
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<tr>
<td>ESA</td>
<td>Enforcement Special Account</td>
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<tr>
<td>ETP</td>
<td>Exchange traded product</td>
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<tr>
<td><strong>FAR</strong></td>
<td>Financial Accountability Regime</td>
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<tr>
<td><strong>Financial Services</strong></td>
<td>Royal Commission into Misconduct in the Banking, Superannuation and Financial Services Industry</td>
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<tr>
<td><strong>Royal Commission</strong></td>
<td>Royal Commission into Misconduct in the Banking, Superannuation and Financial Services Industry</td>
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<tr>
<td>FOI Act</td>
<td>Freedom of Information Act 1982</td>
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<td>FRAA</td>
<td>Financial Regulator Assessment Authority</td>
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<td>FSCP</td>
<td>Financial Services and Credit Panel</td>
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<td><strong>FTE</strong></td>
<td>Full-time equivalent</td>
</tr>
<tr>
<td>GFIN</td>
<td>Global Financial Innovation Network</td>
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<td><strong>GST</strong></td>
<td>Goods and services tax</td>
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<td>IDPS</td>
<td>Investor-directed portfolio service</td>
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<td>IDR</td>
<td>Internal dispute resolution</td>
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<td>INFO</td>
<td>Information Sheet</td>
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<td>IOP</td>
<td>Indigenous Outreach Program</td>
</tr>
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<td>IOSCO</td>
<td>International Organization of Securities Commissions</td>
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<tr>
<td>KMP</td>
<td>Key management personnel</td>
</tr>
<tr>
<td><strong>kWh</strong></td>
<td>Kilowatt-hour, a measure of energy</td>
</tr>
<tr>
<td><strong>LED</strong></td>
<td>Light-emitting diode. A semiconductor device that converts electricity into light.</td>
</tr>
<tr>
<td>LGBTIQ+</td>
<td>Lesbian, gay, bisexual, transgender, intersex and queer</td>
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<tr>
<td>MBR</td>
<td>Modernising Business Registers</td>
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<tr>
<td>MDA</td>
<td>Managed discretionary account</td>
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<td>MDP</td>
<td>Markets Disciplinary Panel</td>
</tr>
<tr>
<td>MJ</td>
<td>Megajoule, a unit of energy measurement</td>
</tr>
<tr>
<td>MoG</td>
<td>Machinery of government</td>
</tr>
<tr>
<td>MOU</td>
<td>Memorandum of understanding</td>
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<tr>
<td>NAB</td>
<td>National Australia Bank</td>
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<td>NAIDOC</td>
<td>National Aborigines and Islanders Day Observance Committee</td>
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<td>National Credit Act</td>
<td><em>National Consumer Credit Protection Act 2009</em></td>
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<td>NICS</td>
<td>National Indigenous Consumer Strategy</td>
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<td>OAIC</td>
<td>Office of the Australian Information Commissioner</td>
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<td>OFR</td>
<td>Operating and financial review</td>
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<td>OTC</td>
<td>Over-the-counter</td>
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<td>PACE</td>
<td>Positive Action towards Career Engagement</td>
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<td>Reconciliation Action Plan</td>
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<td>REP</td>
<td>Report</td>
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<td>REU</td>
<td>Regulatory Efficiency Unit</td>
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<td>RG</td>
<td>Regulatory Guide</td>
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<td>ROA</td>
<td>Record of Advice</td>
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<td>SES</td>
<td>Senior Executive Service</td>
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<td>SFCT</td>
<td>Serious Financial Crime Taskforce</td>
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<td>SIS Act</td>
<td><em>Superannuation Industry (Supervision) Act 1993</em></td>
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<tr>
<td>SME</td>
<td>Small to medium-sized enterprise</td>
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<td>SMSF</td>
<td>Self-managed superannuation fund</td>
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<td>Suncorp</td>
<td>Suncorp Group Limited</td>
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<td>TCFD</td>
<td>Taskforce on Climate-Related Financial Disclosures</td>
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<td>TMD</td>
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Compliance index

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# 9.1 Reporting requirements under the *Public Governance, Performance and Accountability Act 2013*

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<td>17AD(g)</td>
<td>Letter of transmittal</td>
<td></td>
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<tr>
<td>17AI</td>
<td>A copy of the letter of transmittal signed and dated by the accountable authority on the date the final text is approved, with a statement that the report has been prepared in accordance with section 46 of the PGPA Act and any enabling legislation that specifies additional requirements in relation to the annual report</td>
<td>Mandatory</td>
<td>1</td>
</tr>
<tr>
<td>17AD(h)</td>
<td>Aids to access</td>
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<td>17AJ(a)</td>
<td>Table of contents</td>
<td>Mandatory</td>
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<td>17AJ(b)</td>
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<td>Details of contact officer</td>
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<td>Inside back cover</td>
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<td>17AJ(f)</td>
<td>Entity’s website address</td>
<td>Mandatory</td>
<td>Inside back cover</td>
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<td>17AJ(g)</td>
<td>Electronic address of report</td>
<td>Mandatory</td>
<td>Inside back cover</td>
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<td>17AD(a)</td>
<td>Review by accountable authority</td>
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<td>A review by the accountable authority of the entity</td>
<td>Mandatory</td>
<td>6–8</td>
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<td>PGPA rule reference</td>
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<td>Overview of the entity</td>
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<td>17AE(1)(a)(i)</td>
<td>A description of the role and functions of the entity</td>
<td>Mandatory</td>
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<td>17AE(1)(a)(ii)</td>
<td>A description of the organisational structure of the entity</td>
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<td>11–21</td>
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<td>17AE(1)(a)(iii)</td>
<td>A description of the outcomes and programs administered by the entity</td>
<td>Mandatory</td>
<td>28–102</td>
</tr>
<tr>
<td>17AE(1)(a)(iv)</td>
<td>A description of the purposes of the entity as included in the Corporate Plan</td>
<td>Mandatory</td>
<td>9–10</td>
</tr>
<tr>
<td>17AE(1)(aa)(i)</td>
<td>Name of the accountable authority or each member of the accountable authority</td>
<td>Mandatory</td>
<td>14</td>
</tr>
<tr>
<td>17AE(1)(aa)(ii)</td>
<td>Position title of the accountable authority or each member of the accountable authority</td>
<td>Mandatory</td>
<td>14</td>
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<tr>
<td>17AE(1)(aa)(iii)</td>
<td>Period as the accountable authority or member of the accountable authority within the reporting period</td>
<td>Mandatory</td>
<td>14</td>
</tr>
<tr>
<td>17AE(1)(b)</td>
<td>An outline of the structure of the portfolio of the entity</td>
<td>Portfolio departments – mandatory</td>
<td>N/A</td>
</tr>
<tr>
<td>17AE(2)</td>
<td>Where the outcomes and programs administered by the entity differ from any Portfolio Budget Statement, Portfolio Additional Estimates Statement or other portfolio estimates statement that was prepared for the entity for the period, details of variation and reasons for change</td>
<td>If applicable, mandatory</td>
<td>N/A</td>
</tr>
<tr>
<td>17AD(c)</td>
<td>Report on the performance of the entity</td>
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<tr>
<td><strong>Annual performance statement</strong></td>
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<tr>
<td>17AD(c)(i); 16F</td>
<td>Annual performance statement in accordance with paragraph 39(1)(b) of the PGPA Act and section 16F of the PGPA Rule</td>
<td>Mandatory</td>
<td>28–66</td>
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<td>PGPA rule reference</td>
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<tr>
<td>17AD(c)(ii)</td>
<td>Report on financial performance</td>
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<tr>
<td>17AF(1)(a)</td>
<td>A discussion and analysis of the entity’s financial performance</td>
<td>Mandatory</td>
<td>25–26, 141–204</td>
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<tr>
<td>17AF(1)(b)</td>
<td>A table summarising the total resources and total payments of the entity</td>
<td>Mandatory</td>
<td>236–238</td>
</tr>
<tr>
<td>17AF(2)</td>
<td>If there may be significant changes in the financial results during or after the previous or current reporting period, information on those changes, including: the cause of any operating loss of the entity; how the entity has responded to the loss and the actions that have been taken in relation to the loss; and any matter or circumstances that it can reasonably be anticipated will have a significant impact on the entity’s future operation or financial results</td>
<td>If applicable, mandatory</td>
<td>N/A</td>
</tr>
</tbody>
</table>

**Management and accountability**

**Corporate governance**

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<tr>
<td>17AD(d)</td>
<td>Information on the management and accountability of the entity for the period in accordance with section 17AG</td>
<td>Mandatory</td>
<td>11–12, 208–209</td>
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<tr>
<td>17AG(2)(a)</td>
<td>Information on compliance with section 10 (fraud systems) of the PGPA Rule</td>
<td>Mandatory</td>
<td>239</td>
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<tr>
<td>17AG(2)(b)(i)</td>
<td>A certification by the accountable authority that fraud risk assessments and fraud control plans have been prepared</td>
<td>Mandatory</td>
<td>239</td>
</tr>
<tr>
<td>17AG(2)(b)(ii)</td>
<td>A certification by the accountable authority that appropriate mechanisms for preventing, detecting incidents of, investigating or otherwise dealing with, and recording or reporting, fraud that meet the specific needs of the entity are in place</td>
<td>Mandatory</td>
<td>239</td>
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<tr>
<td>PGPA rule reference</td>
<td>Part of report/Description</td>
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<tr>
<td>17AG(2)(b)(iii)</td>
<td>A certification by the accountable authority that all reasonable measures have been taken to deal appropriately with fraud relating to the entity</td>
<td>Mandatory</td>
<td>239</td>
</tr>
<tr>
<td>17AG(2)(c)</td>
<td>An outline of structures and processes in place for the entity to implement principles and objectives of corporate governance</td>
<td>Mandatory</td>
<td>11–18, 208–209</td>
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<tr>
<td>17AG(2)(d)–(e)</td>
<td>A statement of significant issues reported to the Minister under paragraph 19(1)(e) of the PGPA Act that relate to non-compliance with finance law and action taken to remedy non-compliance</td>
<td>If applicable, mandatory</td>
<td>240</td>
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**Audit committee**

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<tr>
<td>17AG(2A)(a)</td>
<td>A direct electronic address of the charter determining the functions of the entity’s audit committee</td>
<td>Mandatory</td>
<td>210</td>
</tr>
<tr>
<td>17AG(2A)(b)</td>
<td>The name of each member of the entity’s audit committee</td>
<td>Mandatory</td>
<td>210–212</td>
</tr>
<tr>
<td>17AG(2A)(c)</td>
<td>The qualifications, knowledge, skills or experience of each member of the entity’s audit committee</td>
<td>Mandatory</td>
<td>210–212</td>
</tr>
<tr>
<td>17AG(2A)(d)</td>
<td>Information about the attendance of each member of the entity’s audit committee at committee meetings</td>
<td>Mandatory</td>
<td>210–212</td>
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<tr>
<td>17AG(2A)(e)</td>
<td>The remuneration of each member of the entity’s audit committee</td>
<td>Mandatory</td>
<td>213</td>
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**External scrutiny**

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<tr>
<td>17AG(3)</td>
<td>Information on the most significant developments in external scrutiny and the entity’s response to the scrutiny</td>
<td>Mandatory</td>
<td>8, 11–12, 206–208, 239–240</td>
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<tr>
<td>17AG(3)(a)</td>
<td>Information on judicial decisions and decisions of administrative tribunals and by the Australian Information Commissioner that may have a significant effect on the operations of the entity</td>
<td>If applicable, mandatory</td>
<td>206</td>
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<td>17AG(3)(b)</td>
<td>Information on any reports on operations of the entity by the Auditor-General (other than reports under section 43 of the Act), a Parliamentary Committee or the Commonwealth Ombudsman</td>
<td>If applicable, mandatory</td>
<td>239</td>
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<tr>
<td>17AG(3)(c)</td>
<td>Information on any capability review on the entity that was released during the period</td>
<td>If applicable, mandatory</td>
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**Management of human resources**

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<td>17AG(4)(a)</td>
<td>An assessment of the entity’s effectiveness in managing and developing employees to achieve entity objectives</td>
<td>Mandatory</td>
<td>133–140</td>
</tr>
</tbody>
</table>
| 17AG(4)(aa)         | Statistics on the entity’s employees on an ongoing and non-ongoing basis, at the end of that and the previous reporting period, including the following:  
› statistics on full-time employees  
› statistics on part-time employees  
› statistics on gender  
› statistics on staff location | Mandatory   | 218–222            |
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<thead>
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<tr>
<td>17AG(4)(b)</td>
<td>Statistics on the entity’s APS employees on an ongoing and non-ongoing basis, including the following:</td>
<td>No longer mandatory&lt;sup&gt;1&lt;/sup&gt;</td>
<td>N/A</td>
</tr>
<tr>
<td></td>
<td>› statistics on staffing classification level</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>› statistics on full-time employees</td>
<td></td>
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<tr>
<td></td>
<td>› statistics on part-time employees</td>
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<td>› statistics on gender</td>
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<td></td>
<td>› statistics on staff location</td>
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<td>› statistics on employees who identify as Indigenous</td>
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<tr>
<td>17AG(4)(c)</td>
<td>Information on any enterprise agreements, individual flexibility arrangements, Australian workplace agreements, common law contracts and determinations under subsection 24(1) of the Public Service Act 1999</td>
<td>If applicable, mandatory 224</td>
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<tr>
<td>17AG(4)(c)(i)</td>
<td>Information on the number of SES and non-SES employees covered by agreements, arrangements, contracts or determinations during this period</td>
<td>If applicable, mandatory 224</td>
<td></td>
</tr>
<tr>
<td>17AG(4)(c)(ii)</td>
<td>The salary ranges available for APS employees by classification level</td>
<td>No longer mandatory&lt;sup&gt;2&lt;/sup&gt;</td>
<td>N/A</td>
</tr>
<tr>
<td>17AG(4)(c)(iii)</td>
<td>A description of non-salary benefits provided to employees</td>
<td>If applicable, mandatory 134</td>
<td></td>
</tr>
<tr>
<td>17AG(4)(d)(i)</td>
<td>Information on the number of employees at each classification level who received performance pay</td>
<td>No longer mandatory&lt;sup&gt;3&lt;/sup&gt;</td>
<td>224</td>
</tr>
<tr>
<td>17AG(4)(d)(ii)</td>
<td>Information on aggregate amounts of performance pay at each classification level</td>
<td>No longer mandatory</td>
<td>224</td>
</tr>
</tbody>
</table>

<sup>1</sup> On 1 July 2019, ASIC moved out of the APS. The Treasury Laws Amendment (Enhancing ASIC’s Capabilities) Act 2018 amended the ASIC Act to remove the requirement for ASIC to engage employees under the Public Service Act 1999. Instead, it engaged employees under section 120 of the ASIC Act.

<sup>2</sup> As above.

<sup>3</sup> While this content is no longer mandatory for ASIC to report, we have included it because it is data we record and it may be of interest to the public.
<table>
<thead>
<tr>
<th>PGPA rule reference</th>
<th>Part of report/Description</th>
<th>Requirement</th>
<th>Location (page(s))</th>
</tr>
</thead>
<tbody>
<tr>
<td>17AG(4)(d)(iii)</td>
<td>Information on the average amount of performance payment, and the range of such payments, at each classification level</td>
<td>No longer mandatory</td>
<td>224</td>
</tr>
<tr>
<td>17AG(4)(d)(iv)</td>
<td>Information on the aggregate amount of performance payments</td>
<td>No longer mandatory</td>
<td>224</td>
</tr>
<tr>
<td><strong>Assets management</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>17AG(5)</td>
<td>An assessment of the effectiveness of assets management where assets management is a significant part of the entity’s activities</td>
<td>If applicable, mandatory</td>
<td>194, 246</td>
</tr>
<tr>
<td><strong>Purchasing</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>17AG(6)</td>
<td>An assessment of the entity performance against the Commonwealth Procurement Rules</td>
<td>Mandatory</td>
<td>249–250</td>
</tr>
<tr>
<td><strong>Consultants</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>17AG(7)(a)</td>
<td>A summary statement detailing the number of new reportable contracts engaging consultants entered into during the period; the total actual expenditure on all new reportable consultancy contracts entered into during the period (inclusive of GST); the number of ongoing reportable consultancy contracts entered into during a previous reporting period; and the total actual expenditure in the reporting year on the ongoing reportable consultancy contracts (inclusive of GST)</td>
<td>Mandatory</td>
<td>251</td>
</tr>
<tr>
<td>17AG(7)(b)</td>
<td>A statement that ‘During [reporting period], [specified number] new consultancy contracts were entered into involving total actual expenditure of $[specified million]. In addition, [specified number] ongoing consultancy contracts were active during the period, involving total actual expenditure of $[specified million].’</td>
<td>Mandatory</td>
<td>251</td>
</tr>
<tr>
<td>PGPA rule reference</td>
<td>Part of report/Description</td>
<td>Requirement</td>
<td>Location (page(s))</td>
</tr>
<tr>
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</tr>
<tr>
<td>17AG(7)(c)</td>
<td>A summary of the policies and procedures for selecting and engaging consultants and the main categories of purposes for which consultants were selected and engaged.</td>
<td>Mandatory</td>
<td>252</td>
</tr>
<tr>
<td>17AG(7)(d)</td>
<td>A statement that ‘Annual reports contain information about actual expenditure on contracts for consultancies. Information on the value of contracts and consultancies is available on the AusTender website.’</td>
<td>Mandatory</td>
<td>250</td>
</tr>
<tr>
<td>17AG(7A)(a)</td>
<td>A statement on the number of new reportable non-consultancy contracts that were entered into during the period, including:</td>
<td>Mandatory</td>
<td>250</td>
</tr>
<tr>
<td></td>
<td>(a) the total actual expenditure during the period on all such contracts (inclusive of GST)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(a) the number of ongoing reportable non-consultancy contracts that were entered into during a previous reporting period</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(a) the total actual expenditure during the period on those ongoing contracts (inclusive of GST)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>17AG(7A)(b)</td>
<td>A statement that ‘Annual reports contain information about actual expenditure on reportable non-consultancy contracts. Information on the value of reportable non-consultancy contracts is available on the AusTender website.’</td>
<td>Mandatory</td>
<td>250</td>
</tr>
<tr>
<td>17AD(daa)</td>
<td>Additional information, in accordance with section 17AGA, about organisations receiving amounts under reportable consultancy contracts or reportable non-consultancy contracts.</td>
<td>Mandatory</td>
<td>251–252</td>
</tr>
<tr>
<td>PGPA rule reference</td>
<td>Part of report/Description</td>
<td>Requirement</td>
<td>Location (page(s))</td>
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</tr>
<tr>
<td><strong>Australian National Audit Office access clauses</strong></td>
<td>If an entity entered into a contract with a value of more than $100,000 (inclusive of GST) and the contract did not provide the Auditor-General with access to the contractor’s premises, the report must include the name of the contractor, the purpose and value of the contract, and the reason why a clause allowing access was not included in the contract</td>
<td>If applicable, mandatory</td>
<td>N/A</td>
</tr>
<tr>
<td><strong>Exempt contracts</strong></td>
<td>If an entity entered into a contract or there is a standing offer with a value greater than $10,000 (inclusive of GST) that has been exempted from being published in AusTender because it would disclose exempt matters under the FOI Act, the annual report must include a statement that the contract or standing offer has been exempted, and the value of the contract or standing offer, to the extent that doing so does not disclose the exempt matters</td>
<td>If applicable, mandatory</td>
<td>N/A</td>
</tr>
<tr>
<td><strong>Small business</strong></td>
<td>A statement that ‘[Name of entity] supports small business participation in the Commonwealth Government procurement market. Small and Medium Enterprises (SME) and Small Enterprise participation statistics are available on the Department of Finance’s website.’</td>
<td>Mandatory</td>
<td>253</td>
</tr>
<tr>
<td></td>
<td>An outline of the ways in which the procurement practices of the entity support small and medium enterprises</td>
<td>Mandatory</td>
<td>253</td>
</tr>
<tr>
<td>PGPA rule reference</td>
<td>Part of report/Description</td>
<td>Requirement</td>
<td>Location (page(s))</td>
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</tr>
<tr>
<td>17AG(10)(c)</td>
<td>If the entity is considered by the Department administered by the Finance Minister as material in nature – a statement that ‘[Name of entity] recognises the importance of ensuring that small businesses are paid on time. The results of the Survey of Australian Government Payments to Small Business are available on the Treasury’s website.’</td>
<td>If applicable, mandatory</td>
<td>253</td>
</tr>
</tbody>
</table>

**Financial statements**

| 17AD(e)             | Inclusion of the annual financial statements in accordance with subsection 43(4) of the PGPA Act                                                                                                                                                                                                                                                                  | Mandatory           | 141–204            |

**Executive remuneration**

| 17AD(da)            | Information about executive remuneration in accordance with Subdivision C of Division 3A of Part 2–3 of the Rule                                                                                                                                                                                                                                                | Mandatory           | 225–230            |

**Other mandatory information**

<p>| 17AH(1)(a)(i)       | If the entity conducted advertising campaigns, a statement that ‘During [reporting period], the [name of entity] conducted the following advertising campaigns: [name of advertising campaigns undertaken]. Further information on those advertising campaigns is available at [address of entity’s website] and in the reports on Australian Government advertising prepared by the Department of Finance. Those reports are available on the Department of Finance’s website.’ | If applicable, mandatory | 249                |
| 17AH(1)(a)(ii)      | If the entity did not conduct advertising campaigns, a statement to that effect                                                                                                                                                                                                                                                                               | If applicable, mandatory | N/A                |
| 17AH(1)(b)          | A statement that ‘Information on grants awarded by [name of entity] during [reporting period] is available at [address of entity’s website].’                                                                                                                                                                                                                       | If applicable, mandatory | 245                |</p>
<table>
<thead>
<tr>
<th>PGPA rule reference</th>
<th>Part of report/Description</th>
<th>Requirement</th>
<th>Location (page(s))</th>
</tr>
</thead>
<tbody>
<tr>
<td>17AH(1)(c)</td>
<td>Outline of mechanisms of disability reporting, including reference to website for further information</td>
<td>Mandatory</td>
<td>140</td>
</tr>
<tr>
<td>17AH(1)(d)</td>
<td>Website reference to where the entity’s Information Publication Scheme statement pursuant to Part II of the FOI Act can be found</td>
<td>Mandatory</td>
<td>241</td>
</tr>
<tr>
<td>17AH(1)(e)</td>
<td>Correction of material errors in previous annual report</td>
<td>If applicable, mandatory</td>
<td>N/A</td>
</tr>
<tr>
<td>17AH(2)</td>
<td>Information required by other legislation</td>
<td>Mandatory</td>
<td>239–241</td>
</tr>
</tbody>
</table>

Note: N/A means not applicable.  
## 9.2 Additional compliance reporting requirements

<table>
<thead>
<tr>
<th>Description</th>
<th>Requirement</th>
<th>Source of requirement</th>
<th>Location (page(s))</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exercise of ASIC’s powers under Part 15 of the <em>Retirement Savings Accounts Act 1997</em> and under Part 29 of the <em>Superannuation Industry (Supervision) Act 1993</em></td>
<td>Mandatory</td>
<td>ASIC Act, s136(1)(a)</td>
<td>239</td>
</tr>
<tr>
<td>ASIC’s monitoring and promotion of market integrity and consumer protection in relation to the Australian financial system and the provision of financial services</td>
<td>Mandatory</td>
<td>ASIC Act, s136(1)(b)</td>
<td>67–102</td>
</tr>
<tr>
<td>ASIC’s activities in accordance with each agreement or arrangement entered into by ASIC under s11(14) of the ASIC Act</td>
<td>Mandatory</td>
<td>ASIC Act, s136(1)(c)</td>
<td>239</td>
</tr>
<tr>
<td>Information about the activities that ASIC has undertaken during the period in exercise of its powers, and performance of its functions, under Chapter 5 of, or Schedule 2 to, the Corporations Act and any provisions of that Act that relate to that Chapter or Schedule</td>
<td>Mandatory</td>
<td>ASIC Act, s136(1)(ca)</td>
<td>29–33, 95–100</td>
</tr>
<tr>
<td>Information about any instances during the period where ASIC failed to consult as required by section 1023F of the Corporations Act or section 301F of the National Credit Act</td>
<td>Mandatory</td>
<td>ASIC Act, s136(1)(cb)</td>
<td>239</td>
</tr>
<tr>
<td>Description</td>
<td>Requirement</td>
<td>Source of requirement</td>
<td>Location (page(s))</td>
</tr>
<tr>
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</tr>
<tr>
<td>The operation of the <em>Business Names Registration Act 2011</em>, including details of the level of access to the Business Names Register using the internet and other facilities, the timeliness with which ASIC carries out its duties, functions and powers under the Act, and the cost of registration of a business name under the Act</td>
<td>Mandatory</td>
<td>ASIC Act, s136(1)(d)</td>
<td>34–35, 64–65</td>
</tr>
<tr>
<td>Information, for the relevant period, about the activities undertaken by each Financial Services and Credit Panel during the period, any exams administered by ASIC under subs 921B(3) of the Corporations Act, any warnings given by ASIC under s912S of the Corporations Act, any decisions by ASIC not to follow a recommendation under subs 921Q(1) of the Corporations Act</td>
<td>Mandatory</td>
<td>ASIC Act, s136(1)(da)</td>
<td>217–218</td>
</tr>
<tr>
<td>The number of times ASIC used an information-gathering power, the provision of the Corporations Act, the ASIC Act, or another law that conferred the power, and the number of times in the previous financial year ASIC used the power</td>
<td>Mandatory</td>
<td>ASIC Act, s136(1)(e), Australian Securities and Investments Commission Regulations 2001, reg 8AAA(1)</td>
<td>241–244</td>
</tr>
<tr>
<td>ASIC’s regional administration in referring states and the Northern Territory, including a statement on our performance against service-level performance indicators during the relevant period</td>
<td>Mandatory</td>
<td>Corporations Agreement, s603(3)</td>
<td>34–36, 104–105</td>
</tr>
<tr>
<td>A report on the activities of each state and Northern Territory Regional Liaison Committee maintained by the Regional Commissioners</td>
<td>Mandatory</td>
<td>Corporations Agreement, s604(4)</td>
<td>104–105</td>
</tr>
<tr>
<td>Description</td>
<td>Requirement</td>
<td>Source of requirement</td>
<td>Location (page(s))</td>
</tr>
<tr>
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</tr>
<tr>
<td>A report on the work of the financial services and consumer credit external dispute resolution schemes, and ASIC’s assessment of the systemic and significant issues the schemes have raised in their reports to ASIC, including information on any action taken in response to the matters raised in these reports.</td>
<td>Suggested</td>
<td>Senate Economics References Committee inquiry into the performance of ASIC, Recommendation 4</td>
<td>253–254</td>
</tr>
<tr>
<td>Commentary on ASIC’s activities related to monitoring compliance with court enforceable undertakings, and on how court enforceable undertakings have led to improved compliance with the law</td>
<td>Suggested</td>
<td>Senate Economics References Committee inquiry into the performance of ASIC, Recommendation 27</td>
<td>44</td>
</tr>
<tr>
<td>Accountable authority must state, in the annual financial statements, whether, in the authority’s opinion, the statements comply with subsection 42(2)</td>
<td>Mandatory</td>
<td>PGPA Act, s42(3)</td>
<td>145</td>
</tr>
</tbody>
</table>

**Work health and safety**

(a) initiatives taken during the year to ensure the health, safety and welfare of workers who carry out work for the entity

(b) health and safety outcomes (including the impact on injury rates of workers) achieved as a result of initiatives mentioned under paragraph (a) or previous initiatives

(c) statistics of any notifiable incidents of which the entity becomes aware during the year that arose out of the conduct of businesses or undertakings by the entity

<p>| | Mandatory | Work Health and Safety Act 2011, s4(2) Sch 2 | 135–136 |</p>
<table>
<thead>
<tr>
<th>Description</th>
<th>Requirement</th>
<th>Source of requirement</th>
<th>Location (page(s))</th>
</tr>
</thead>
<tbody>
<tr>
<td>(d) any investigations conducted during the year that relate to businesses or undertakings conducted by the entity, including details of all notices given to the entity during the year under Part 10 of this Act</td>
<td>Mandatory</td>
<td>N/A</td>
<td>247–248</td>
</tr>
<tr>
<td>(e) such other matters as are required by guidelines approved on behalf of the Parliament by the Joint Committee of Public Accounts and Audit</td>
<td>Mandatory</td>
<td>Environment Protection and Biodiversity Conservation Act 1999, s516A(6)</td>
<td>247–248</td>
</tr>
</tbody>
</table>

### Environmental performance

<table>
<thead>
<tr>
<th>Description</th>
<th>Requirement</th>
<th>Source of requirement</th>
<th>Location (page(s))</th>
</tr>
</thead>
<tbody>
<tr>
<td>(a) include a report on how the activities of, and the administration (if any) of legislation by, the reporter during the period accorded with the principles of ecologically sustainable development</td>
<td>Mandatory</td>
<td>Environment Protection and Biodiversity Conservation Act 1999, s516A(6)</td>
<td>247–248</td>
</tr>
<tr>
<td>(b) identify how the outcomes (if any) specified for the reporter in an Appropriations Act relating to the period contribute to ecologically sustainable development</td>
<td>Mandatory</td>
<td>Environment Protection and Biodiversity Conservation Act 1999, s516A(6)</td>
<td>247–248</td>
</tr>
<tr>
<td>(c) document the effect of the reporter’s activities on the environment</td>
<td>Mandatory</td>
<td>Environment Protection and Biodiversity Conservation Act 1999, s516A(6)</td>
<td>247–248</td>
</tr>
<tr>
<td>(d) identify any measures the reporter is taking to minimise the impact of activities by the reporter on the environment</td>
<td>Mandatory</td>
<td>Environment Protection and Biodiversity Conservation Act 1999, s516A(6)</td>
<td>247–248</td>
</tr>
<tr>
<td>(e) identify the mechanisms (if any) for reviewing and increasing the effectiveness of those measures</td>
<td>Mandatory</td>
<td>Environment Protection and Biodiversity Conservation Act 1999, s516A(6)</td>
<td>247–248</td>
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Any other Committee recommendations                                                                                                     | N/A
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