

Senate Economics Legislation Committee
ANSWERS TO QUESTIONS ON NOTICE
Treasury Portfolio
Budget Estimates 2014
3 June to 5 June 2014

Department/ Agency: Australian Securities & Investments Commission

Question: BET 186-227

Topic: Staffing – Transfers, Redundancies, Extensions

Reference: Written 5 June 2014

Senator: Lundy/Ludwig

Question:

186. How many people does your department/agency currently employ? Please provide a breakdown of this figure based on the following:
- a. State and Territory
 - b. Age
 - c. Gender
 - d. APS level classification
 - e. Contract type (ongoing or non-ongoing)
187. How many people did your department/agency employ as of 30 June 2013? Please provide a breakdown of this figure based on the following:
- a. State and Territory
 - b. Age
 - c. Gender
 - d. APS level classification
 - e. Contract type (ongoing or non-ongoing)
188. How many people did your department/agency employ as of 18 September 2013? Please provide a breakdown of this figure based on the following:
- a. State and territory
 - b. Age
 - c. Gender
 - d. APS level classification
 - e. Contract type (ongoing or non-ongoing)
189. Since 18 September 2013, what department/agency functions have been transferred from one state or territory to another?
190. For all functions transferred, can you please provide figures for the following:
- a. Number of staff employed before and after the transfer,
 - b. Where the function was based before and after the transfer
191. For each employee transferred please provide the followings:
- a. Their age
 - b. Their gender
 - c. Their APS classification
 - d. The wage of the employee before and after the transfer
 - e. The area of the department/agency they worked in before and after their transfer.
 - f. A description of their position before and after the transfer
 - g. The dates of their transfer
 - h. An explanation of their transfer

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- i. Whether they were transferred to or from Canberra
 - j. Any costs incurred by the department/agency due to this transfer
192. Since 18 September 2013, how many positions have been made redundant in your department/agency?
- a. How many of these positions were ongoing?
 - b. How many of these positions were non-ongoing
 - c. How many of these positions were situated in the Australian Capital Territory
193. How many of the employees filling these redundant positions were redeployed?
- a. How many of these employees were ongoing?
 - b. How many of these employees were non-ongoing?
 - c. How many of these employees were situated in the Australian Capital Territory?
194. How many of these employees were offered voluntary redundancies?
- a. How many of these employees were ongoing?
 - b. How many of these employees were non-ongoing?
 - c. How many of these employees were situated in the Australian Capital Territory?
195. How many accepted voluntary redundancies?
- a. How many of these employees were ongoing?
 - b. How many of these employees were non-ongoing?
 - c. How many of these employees were situated in the Australian Capital Territory?
196. How many of these employees were offered the choice between a voluntary redundancy and redeployment?
- a. How many of these employees were ongoing?
 - b. How many of these employees were non-ongoing?
 - c. How many of these employees were situated in the Australian Capital Territory?
197. For all employees who accepted voluntary redundancies please provide the following:-
- a. Their age
 - b. Their gender
 - c. A description of their position
 - d. The APS classification level of their position
 - e. Their wage
 - f. Their contract type (non-ongoing versus ongoing)
 - g. Where they were located
 - h. A dollar figure of their pay out and what component of that figure was paid out as entitlements (annual leave etc)
 - i. The reason a voluntary redundancy was offered for their position
 - j. Details pertaining to any other costs incurred by the department/agency because of this redundancy
 - k. Please provide all relevant dates
198. For all employees who were redeployed please provide:
- a. Their age
 - b. Their gender

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- c. A description of their position before and after redeployment
 - d. The APS classification level of their position before and after redeployment
 - e. Their wage before and after redeployment
 - f. Contract type (non-ongoing vs ongoing) before and after redeployment
 - g. Where they were located before and after redeployment
 - h. Please provide the reason for the redeployment
 - i. Please specify any other costs incurred by the department/agency because of this redeployment?
 - j. Please provide all relevant dates.
199. Since the 18 September 2013, how many employees in your department/agency have been made forcibly redundant?
- a. How many of these employees were ongoing?
 - b. How many of these employees were non-ongoing?
 - c. How many of these employees were situated in the Australian Capital Territory?
200. How many of these employees were offered voluntary redundancies or redeployment prior to being made forcibly redundant?
- a. How many of these employees were ongoing?
 - b. How many of these employees were non-ongoing?
 - c. How many of these employees were situated in the Australian Capital Territory?
201. For employees who were made forcibly redundant since the 18 September 2013 please provide:
- a. Their age
 - b. Their gender
 - c. A description of their position
 - d. The APS classification level of their position
 - e. Their wage at retrenchment
 - f. Their contract type (non-ongoing vs ongoing)
 - g. Where they were located
 - h. A dollar figure of their payout and what component of that figure was paid out as entitlements (annual leave etc)
 - i. The reason why the employee was made forcibly redundant
 - j. Details pertaining to any other costs incurred by the department/agency because of this redundancy
 - k. Please provide all relevant dates
202. Since the 18 September 2013 how many non-ongoing contracts has your department/agency extended?
203. How many non-ongoing contract extensions did your department/agency submit the Public Service Commission for approval?
204. How many of these extensions were approved by the Australian Public Service Commission (APSC)?
205. For every approved extension please provide the following details:
- a. The employees age.
 - b. Their gender.

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- c. A description of their position.
 - d. Their APS classification level.
 - e. Their wage.
 - f. Where they are located.
 - g. Their length of continuous employment at the APS.
 - h. The length of the approved extension.
 - i. The reason why the extension was submitted.
 - j. The reason why the extension was approved by the APSC.
 - k. Please provide all relevant dates.
206. How many of these extensions were rejected by the APSC?
207. For every rejected extension please provide the following details:
- a. The employee's age
 - b. Their gender.
 - c. A description of their position.
 - d. Their wage.
 - e. Where they were located.
 - f. Their length of continuous employment at the APS.
 - g. The length of the extension sought by the department/agency.
 - h. The reason why the extension was submitted.
 - i. The reason why the extension was rejected by the APSC.
 - j. Please provide all relevant dates.
208. Since 18 September 2013, how many non-ongoing contracts have been extended by your department/agency without the APSC's approval?
209. For every unapproved extension please provide the following details:
- a. The employee's age.
 - b. Their gender.
 - c. A description of their position.
 - d. Their wage.
 - e. Their position's APS level classification.
 - f. Where they were located.
 - g. Their length of continuous employment at the APS.
 - h. The length of the extension granted by the department/agency.
 - i. The reason why the extension was granted.
 - j. Whether the extension was submitted to the APSC for approval and if not why the extension was not submitted for APSC approval?
 - k. The reasons why the extension was granted without the APSC's approval.
 - l. Please provide all relevant dates.
210. Since the 18 September 2013 how many non-ongoing contracts have expired without extension?
211. For every non-ongoing contract that has expired without extension please provide the following details:
- a. The employee's age.
 - b. Their gender.
 - c. A description of their position.
 - d. Their wage.

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- e. Their position's APS level classification.
 - f. Where they were located.
 - g. Their length of continuous employment at the APS.
 - h. The reason why the extension was not sought for their position.
 - i. Please provide all relevant dates.
212. Since the 18 September 2013 how many new employees have been engaged by your department/agency on non-ongoing contracts?
213. Since the 18 September 2013 how many (a) non-ongoing and (b) new non-ongoing engagements were submitted to the APSC for approval?
214. How many of these new non-ongoing engagements were approved by the APSC?
215. For every approved new engagement of a non-ongoing employee please provide the following details:
- a. Their age.
 - b. Their gender.
 - c. A description of their position.
 - d. Their wage.
 - e. Where their position is located.
 - f. Their position's APS level classification.
 - g. The length of their non-ongoing contract.
 - h. Whether their position was advertised externally.
 - i. The reason for engaging this new employee.
 - j. The reason given by the APSC for approving this engagement.
 - k. Please provide all relevant dates
216. How many of these new non-ongoing employee applications were rejected by the Public Service Commission?
217. For every rejected new engagement of a non-ongoing employee please provide the following details:
- a. Their age.
 - b. Their gender.
 - c. A description of their position.
 - d. Where their position is located.
 - e. Their wage.
 - f. Their position's APS level classification.
 - g. The length of their non-ongoing contract.
 - h. Whether their position was advertised externally.
 - i. The reason for engaging this new employee.
 - j. The reason given by the APSC for rejecting this engagement.
 - k. Please provide all relevant dates
218. Since 18 September 2013, how many new employees have been engaged on non-ongoing contracts without the approval of the Public Service Commission?
219. For every unapproved new engagement of a non-ongoing employee please provide the following details:
- a. Their age.
 - b. Their gender.
 - c. A description of their position.

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- d. Their wage.
 - e. Where their position is located.
 - f. Their position's APS level classification.
 - g. The length of their non-ongoing contract.
 - h. Whether their position was advertised externally.
 - i. The reason for engaging this new employee.
 - j. The reason for engaging this employee without the APSC's approval.
 - k. Please provide all relevant dates
220. Since the 18 September 2013 how many new employees have been engaged by your department/agency on ongoing contracts?
221. Since the 18 September 2013 how many (a) ongoing and (b) new ongoing engagements were submitted to the Public Service Commission for approval?
222. How many of these new ongoing engagements were approved by the Public Service Commission?
223. For every approved new engagement of an ongoing employee please provide the following details:
- a. Their age.
 - b. Their gender.
 - c. A description of their position.
 - d. Their wage.
 - e. Where their position is located.
 - f. Their position's APS level classification.
 - g. The length of their ongoing contract.
 - h. Whether their position was advertised externally.
 - i. The reason for engaging this new employee.
 - j. The reason provided by APSC for approving this engagement.
 - k. Please provide all relevant dates.
224. How many of these new ongoing employee applications were rejected by the Public Service Commission?
225. For every new ongoing engagement rejected by the Public Services Commission please provide the following details:
- a. Their age.
 - b. Their gender.
 - c. A description of their position.
 - d. Where their position is located.
 - e. Their wage.
 - f. Their position's APS level classification.
 - g. The length of their ongoing contract.
 - h. Whether their position was advertised externally.
 - i. The reason for engaging this new employee.
 - j. The reason provided by APSC for approving this engagement.
 - k. Please provide all relevant dates.
226. How many new employees have been engaged on ongoing contracts without the approval of the Public Service Commission?

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227. For every ongoing employee engaged without the Public Service Commission's approval please provide the following details:
- a. Their age.
 - b. Their gender.
 - c. A description of their position.
 - d. Where their position is located.
 - e. Their wage.
 - f. Their position's APS level classification.
 - g. The length of their ongoing contract.
 - h. Whether their position was advertised externally.
 - i. The reason for engaging this new employee.
 - j. The reason for engaging this employee without the APSC permission.
 - k. Please provide all relevant dates.

Answer:

186. As at 5 June 2014

The figures in the following tables represent headcount.

a. & b. State and Territory by Age

	ACT	NSW	NT	QLD	SA	TAS	VIC	WA	Total
1. Under 25		30		9	5	1	57	7	109
2. 25-34	1	245		54	20	2	222	27	571
3. 35-44	4	219	1	46	18	7	193	34	522
4. 45-54	3	175		38	17	5	168	30	436
5. 55+	2	74	1	13	5		64	10	169
Total	10	743	2	160	65	15	704	108	1807

c. d. & e. Gender, APS Classification and Contract Type

	APS1	APS2	APS3	APS4	APS5	APS6	EL1	EL2	SES	Total
Female										
Non Ongoing	18	49		13	1	20	25	12	7	145
Ongoing	11	69	74	95	42	190	200	216	10	907
Male										
Non Ongoing	3	10		6	2	11	16	28	16	92
Ongoing	2	18	16	47	10	111	197	250	12	663
Total	34	146	90	161	55	332	438	506	45	1807

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187. The figures in the following tables represent headcount.

a. & b. State and Territory by Age

	ACT	NSW	NT	QLD	SA	TAS	VIC	WA	Total
1. Under 25		24		7	8		52	4	95
2. 25-34	2	299	1	71	29	3	239	33	677
3. 35-44	9	237	1	45	23	7	210	30	562
4. 45-54	3	176	2	37	17	9	176	28	448
5. 55+	3	71	1	16	8		87	10	196
Total	17	807	5	176	85	19	764	105	1978

c. d. & e. Gender, APS Classification and Contract Type

	APS1	APS2	APS3	APS4	APS5	APS6	EL1	EL2	SES	Total
Female										
Non Ongoing	16	38		23		27	15	11	6	136
Ongoing	13	95	96	99	44	209	218	219	11	1004
Male										
Non Ongoing	3	12	1	9	1	9	26	26	18	105
Ongoing	1	30	14	65	11	122	209	269	12	733
Total	33	175	111	196	56	367	468	525	47	1978

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188. The figures in the following tables represent headcount.

a. & b. State and Territory by Age

	ACT	NSW	NT	QLD	SA	TAS	VIC	WA	Total
1. Under 25		24		9	7	1	46	3	90
2. 25-34	2	298	1	69	28	2	251	35	686
3. 35-44	6	235	1	42	21	8	204	34	551
4. 45-54	3	181	2	40	17	7	173	29	452
5. 55+	3	72	1	16	8		79	9	188
Total	14	810	5	176	81	18	753	110	1967

c. d. & e. Gender, APS Classification and Contract Type

	APS1	APS2	APS3	APS4	APS5	APS6	EL1	EL2	SES	Total
Female										
Non Ongoing	19	48		15		22	19	11	8	142
Ongoing	15	84	90	89	52	211	223	221	11	996
Male										
Non Ongoing	3	11		8	1	9	20	27	18	97
Ongoing	2	25	13	63	18	119	216	264	12	732
Total	39	168	103	175	71	361	478	523	49	1967

189. Nil

190. N/A

191. N/A

192. 150 positions to date (05/06/14) have been made redundant.

- a. 150 were ongoing.
- b. Nil were non ongoing.
- c. 2 positions were located in Canberra.

193. Nil were redeployed.

194. 150 positions to date (05/06/14) were offered voluntary redundancy.

- a. 150 were ongoing.
- b. Nil were non ongoing.
- c. 2 positions were located in Canberra.

195. 144 positions to date (05/06/14) have accepted voluntary redundancies

- a. 144 were ongoing.
- b. Nil were non ongoing.
- c. 2 were located in Canberra.

196. 6 employees were offered the choice between voluntary redundancy and seeking redeployment. The remainder indicated their interest in voluntary redundancy and redeployment was therefore not applicable.

- a. 6 were ongoing
- b. Nil were non ongoing

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c. Nil were located in Canberra.

197. Please see table below for answers a-h and j-k.

I. The Commission asked for Expression of Interests for voluntary redundancies from ongoing team members in order to help manage employee costs in preparation for the 13/14 budget.

Voluntary Redundancy Statistics					
Average Age		45	Average Wage		\$95,782
Gender	Female	61.8%	Contract Type	Ongoing	100%
	Male	38.2%	Location	Adelaide	4.17%
Position Description				Brisbane	9.03%
	Accounting	3.5%		Canberra	1.39%
	Admin/Customer Service	26.4%		Hobart	0.69%
	Analysis	24.3%		Melbourne	21.53%
	Facilities Management	2.1%		Perth	3.47%
	Human Resources	2.8%		Sydney	36.81%
	Investigation	9.0%		Traralgon	22.92%
	Information Technology	5.6%	Pay out	Total	\$13,195,868
	Legal	9.7%		Entitlements	\$4,219,069
	Policy	1.4%	Other costs	Reimbursement	\$1400
	Procurement	1.4%	Dates	Oct-13	1%
	Research	2.1%		Mar-14	1%
	Management	11.8%		Apr-14	56%
APS Classification	APS2	6.25%		May-14	42%
	APS3	11.81%			
	APS4	4.17%			
	APS5	9.03%			
	APS6	21.53%			
	EL1	21.53%			
	EL2	25%			
SES	0.69%				

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198. No employees have been redeployed as at 5 June 2014.
199. 6 employees have been forcibly made redundant to date (05/06/14)
- a. 6 were ongoing
 - b. Nil were non ongoing
 - c. Nil were from Canberra
200. 6 were offered voluntary redundancies or redeployment prior to being made forcibly redundant?
- a. 6 were ongoing
 - b. Nil were non ongoing
 - c. Nil were from Canberra
- 201.

No	Age	Gender	Position	APS Level	Wage	Contract Type	Location	Pay out Figure	Entit. Figure	Reason	Other Costs	Dates
1	27	Female	Admin Officer	APS2	\$51,930	Ongoing	Melbourne	\$31,067	\$7772	Internal restructure	Nil	11/10/13
2	54	Male	External Relationship Officer	APS4	\$66,158	Ongoing	Melbourne	\$93,784	\$18,960	Internal restructure	Nil	10/10/13
3	54	Male	IT Officer	APS6	\$84,318	Ongoing	Sydney	\$121,200	\$37,798	Internal restructure	Nil	27/11/13
4	33	Female	Team Leader	EL1	\$108,687	Ongoing	Adelaide	\$81,211	\$27,874	Internal restructure	Nil	18/10/13
5	39	Female	Lawyer	EL1	\$108,687	Ongoing	Adelaide	\$50,614	\$24,454	Internal restructure	Nil	17/10/13
6	42	Male	Lawyer	EL2	\$129,878	Ongoing	Brisbane	\$90,517	\$37,238	Internal restructure	Nil	23/11/13

202. ASIC has extended 109 contracts with the effective dates of the extensions falling between 18 September 2013 and 12 June 2014.
203. Nil
204. N/A
205. N/A
206. N/A
207. N/A
208. ASIC has extended 109 contracts without the approval of the APSC, with the effective dates of the extensions falling between 18 September 2013 and 12 June 2014.

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Details for unapproved extensions		
Average Age		37
Gender	Female	68.80%
	Male	31.20%
Position Description	Analyst	11.01%
	Lawyer	9.17%
	Media Assistant	1.83%
	Policy & Education Officer	2.75%
	Information Technology	7.34%
	Customer Service/Administration	53.21%
	Finance	3.67%
	Management	6.42%
	Investigation	0.92%
	Human Resource	3.67%

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Details for unapproved extensions		
APS Classification	APS 1	33.03%
	APS 2	20.18%
	APS 4	9.17%
	APS 5	0.92%
	APS 6	12.84%
	EL 1	16.51%
	EL 2	7.34%
Average Wage		\$70,512
Location	Brisbane	8.26%
	Melbourne	11.01%
	Perth	3.67%
	Sydney	30.28%
	Traralgon	46.79%
Avg Length of Continuous Service		2.09 years
Avg Length of Extension		0.47 year
Reason for extension	Business critical/deliver business plan priorities	55.05%
	Prior to recruitment freeze	2.75%
	Long-term leave coverage (e.g. Parental Leave)	3.67%
	Maintain front line services (e.g customer service)	16.51%
	NPP/project funded	12.84%
	Role requires rare knowledge, skills and experience	9.17%
Reason for non submission	Extended prior to recruitment freeze	45.87%
	Extension was 12 months or less	54.13%
Relevant Dates - % Extended	Sep-13	1
	Oct-13	16
	Nov-13	16
	Dec-13	28
	Jan-14	3
	Feb-14	12
	Mar-14	14
	Apr-14	8
	May-14	9
	Jun-14	2

210. 25 non ongoing contracts have expired without extension.

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No	Age	Gender	Position	Wage	APS Level	Location	Length of empl.	Reason	Dates
1	35	Female	Customer Service Officer	\$42,409	APS1	Traralgon	0.3	Not required	07/12/13
2	38	Female	Customer Service Officer	\$42,409	APS1	Traralgon	0.2	Not required	07/12/13
3	47	Female	Customer Service Officer	\$42,409	APS1	Traralgon	0.2	Not required	07/12/13
4	58	Female	Customer Service Officer	\$42,409	APS1	Traralgon	0.2	Not required	07/12/13
5	23	Female	Administrative Support	\$49,321	APS2	Adelaide	0.7	Not required	28/09/13
6	35	Female	Customer Service Officer	\$50,614	APS2	Adelaide	0.4	Not required	01/10/13
7	38	Female	Customer Service Officer	\$50,614	APS2	Traralgon	1.7	Not required	25/12/13
8	24	Male	IT Officer	\$64,505	APS4	Sydney	0.9	Not required	21/09/13
9	25	Female	Legal Officer	\$64,505	APS4	Sydney	1.5	Not required	25/12/13
10	56	Female	Payroll Officer	\$66,158	APS5	Brisbane	0.2	Not required	30/05/14
11	58	Male	Payroll Officer	\$66,158	APS5	Brisbane	0.2	Not required	30/05/14
12	32	Female	Graphic Designer	\$75,225	APS6	Sydney	1.0	Not required	04/06/14
13	28	Female	Policy Officer	\$77,289	APS6	Perth	1.9	Not required	01/03/14
14	44	Female	Lawyer	\$77,289	APS6	Sydney	2.4	Not required	01/10/13
15	56	Female	Administrative Officer	\$81,174	APS6	Sydney	2.0	Not required	19/04/14
16	44	Male	Audit Professional	\$84,318	APS6	Sydney	0.9	Not required	25/12/13
17	27	Female	Media Assistant	\$101,195	EL1	Sydney	2.0	Not required	01/03/14
18	34	Male	Media Advisor	\$101,195	EL1	Melbourne	1.1	Not required	08/02/14
19	44	Male	IT Officer	\$108,687	EL1	Sydney	2.0	Not required	20/12/13
20	61	Female	Lawyer	\$108,687	EL1	Sydney	0.3	Not required	27/09/13

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21	61	Female	Lawyer	\$108,687	EL1	Sydney	0.1	Not required	16/04/14
22	39	Male	IT Officer	\$126,641	EL2	Sydney	1.0	Not required	12/10/13
23	65	Female	Policy Officer	\$126,641	EL2	Brisbane	1.4	Not required	01/11/13
24	66	Male	Analyst	\$129,878	EL2	Perth	0.1	Not required	24/05/14
25	39	Female	Advisor	\$131,778	EL2	Sydney	2.1	Not required	31/10/13

212. 65 employees have been engaged on non ongoing contracts.

213. Since 18 September 2013, ASIC has submitted a request to the APSC for approval of 16 new non-ongoing engagements.

214. All 16 were approved by the APSC.

Approval was requested prior to commencing the recruitment process for these roles and none had been filled as at 12 June 2104.

215. N/A

216. Nil

217. N/A

218. 65 new employees have been engaged on non ongoing contracts without the approval of the APSC.

219.

Details for unapproved new engagements of non ongoing employees		
Average Age		36.6
Gender	Female	69.23%
	Male	30.77%
Position Description	Analyst	10.77%
	Customer Service/Administration	40.00%
	Management	7.69%
	Legal	20.00%
	Projects	3.08%
	Information Technology	6.15%
	Human Resources	7.69%
	Finance	4.62%
Average Wage		\$81,116
Location	Adelaide	1.54%
	Brisbane	12.31%
	Melbourne	23.08%
	Perth	4.62%
	Sydney	23.08%

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Details for unapproved new engagements of non ongoing employees		
	Traralgon	35.38%
APS Level	APS1	9.23%
	APS2	33.85%
	APS4	4.62%
	APS5	6.15%
	ASP6	6.15%
	EL1	20.00%
	EL2	18.46%
	SES	1.54%
	Avg Length of Contract	
Advertised Externally		No
Reason for Engaging	To meet critical ASIC business needs.	
Non Approval Reason	Less than 12 months	
Relevant Dates	Sep-13	9
	Oct-13	12
	Nov-13	10
	Dec-13	2
	Jan-14	11
	Feb-14	4
	Mar-14	6
	Apr-14	2
	May-14	9

220. 40 new employees have been engaged on ongoing contracts.

221. This question is the same as 213 above.

The only request made to the APS Commissioner for approval to fill *ongoing* contracts has been for 15 graduate positions to commence in 2015.

222. The Government is yet to make a decision on graduate recruitment across the APS.

223. N/A

224. Nil

225. N/A

226. No employees have been engaged on ongoing contracts without the approval of the Public Service Commissioner since the requirement to request APSC approval came into force.

227. N/A