

## LEGISLATIVE ASSEMBLY OF THE NORTHERN TERRITORY

### WRITTEN QUESTION

Mrs Finocchiaro to the Chief Minister, for all agencies falling under the Chief Minister's portfolio responsibilities:

#### AGENCY ADMINISTRATION

**Note 1:**

We have submitted similar questions to those below in past years prior to the Estimates Committee Hearings. Although it appears there will not be any Estimates Committee Hearings this year; we are submitting these questions in the interests of accountability and continuity, to enable the comparison of agency information across years.

**Note 2:**

If there is to be a Whole of Government response to any of the questions, it would be appreciated if these are referred early to the Minister responsible to enable a response within the same timeframe as the remainder of the questions.

**Note 3:**

My Office would be very grateful if the question could be inserted at the beginning of each answer.

#### Northern Territory Auditor-General's Office – Questions and Responses

##### STAFFING

1. Please provide details for the following staffing questions as at 30 June 2019, and as at 31 March 2020:
  - a) How many staff were employed in the following categories:
    - i. Full time equivalent
    - ii. Permanent part time contract
    - iii. Contract
  - b) Please advise the number of staff who identify as Aboriginal and Torres Strait Islander as at 30 June 2019, as at 31 March 2020, and as a percentage of the Agency total employment as at 31 March 2020 (all classifications);
  - c) Please advise the number of frontline staff as FTE as at 31 March 2020 and as a percentage of the Agency total employment (all classifications).

**Answer:** Staffing details for the NTAGO are as follows:

a) as at 30 June 2019 and 31 March 2020, the NTAGO had a total of 5.0FTE:

| Reference | Category                     | FTE |
|-----------|------------------------------|-----|
| i         | Full time equivalent         | 2.0 |
| ii        | Permanent part time contract | 0.0 |
| iii       | Contract                     | 3.0 |

b) as at 30 June 2019 and 31 March 2020, no staff members identified as Aboriginal and Torres Strait Islander within the NTAGO.

c) as at 31 March 2020, all staff were employed primarily to facilitate the delivery of audit services. All three Executive Contract Officers deal directly with the agencies and entities subject to audit.

2. Please advise, in each category:

- a) The total number of staff on contracts (by executive and temporary employment contracts) as at 30 June 2019 and as at 31 March 2020
- b) By position, the levels at which staff are employed on executive or temporary employment contracts as at 30 June 2019 and as at 31 March 2020

**Answer:** The NTAGO had the following staff on executive and temporary employment contracts:

a) as at 30 June 2019, the total number of staff on executive employment contract was 3.0FTE. As at 31 March 2020, there were 3.0FTE staff on executive employment contract and with one temporary part-time employment contract backfilling one staff member on part-pay parental leave.

b) as at 30 June 2019, the 3.0FTE staff by position and level are as follows:

| Position            | Level                        | FTE |
|---------------------|------------------------------|-----|
| Auditor-General     | Executive Contract Officer 5 | 1.0 |
| Principal Auditor 1 | Executive Contract Officer 1 | 1.0 |
| Principal Auditor 2 | Executive Contract Officer 1 | 1.0 |

As at 31 March 2020, the 3.0FTE staff by position and level are as follows:

| Position            | Level   | FTE |
|---------------------|---|-----|
| Auditor-General     | Executive Contract Officer 5  | 1.0 |
| Principal Auditor 1 | Executive Contract Officer 1  | 1.0 |
| Principal Auditor 2 | Executive Contract Officer 1<br>(on ½ pay parental leave and backfilled to 28 May 2020) | 1.0 |

3. For the full financial year ending 30 June 2019 and for the period from 1 July 2019 to 31 March 2020 how many staff:
  - a) Resigned
  - b) Were made redundant
  - c) Were terminated

**Answer:** The following table shows that the NTAGO had the following number of staff in each description for the two periods indicated:

| Description            | Full financial year ending 30 June 2019 | 1 July 2019 to 31 March 2020 |
|------------------------|---|------------------------------|
| a) Resigned            | 0.0                                     | 0.0                          |
| b) Were made redundant | 0.0                                     | 0.0                          |
| c) Were terminated     | 0.0                                     | 0.0                          |

4. How many staff were unattached or categorized as redeployees for the full financial year ending 30 June 2019 and for the period from 1 July 2019 to 31 March 2020?

**Answer:** The NTAGO had no staff unattached or categorised as redeployees for the full financial year ending 30 June 2019 and for the period from 1 July 2019 to 31 March 2020.

5. How many staff were categorized as supernumerary for the full financial year ending 30 June 2019 and for the period from 1 July 2019 to 31 March 2020?

**Answer:** The NTAGO had no staff categorised as supernumerary for the full financial year ending 30 June 2019 and for the period from 1 July 2019 to 31 March 2020.

6. How many staff have been engaged through employment agency arrangements, for what purpose, for what duration and at what cost for the full financial year ending 30 June 2019 and for the period from 1 July 2019 to 31 March 2020?

**Answer:** The NTAGO had no staff engaged through employment agency arrangements for the full financial year ending 30 June 2019 and for the period from 1 July 2019 to 31 March 2020.

7. How many locums have been employed, for what purpose, what duration and at what cost for the full financial year ending 30 June 2019 and for the period from 1 July 2019 to 31 March 2020?

**Answer:** This question is not applicable to the NTAGO.

8. How many positions had Special Measures applied when advertised for the full financial year ending 30 June 2019 and for the period from 1 July 2019 to 31 March 2020?

**Answer:** The NTAGO had no positions advertised with Special Measures for the full financial year ending 30 June 2019 and for the period from 1 July 2019 to 31 March 2020.

9. How many positions that had Special Measures applied, as referred to in the question above, had to be re-advertised due to the initial process not securing suitable candidates?

**Answer:** Not applicable due to nil positions advertised with Special Measures.

10. How many grievances have arisen as a direct result of the Special Measures program since 1 July 2019. Of these, how many remain unresolved?

**Answer:** Not applicable due to nil positions advertised with Special Measures.

## **OUTSOURCING**

11. For the period beginning 1 July 2019 and ending 31 March 2020, detail any decision(s) to outsource, contract out or privatise functions that have traditionally been carried out by the Agency. Is consideration being given to outsource, contract-out or privatise in financial year 2020/21? If so, provide details.

**Answer:** The NTAGO had no instances of outsourced, contracted out or privatised functions that have traditionally been carried out by the Agency.

No consideration is being given to outsource, contract out or privatise functions that have traditionally been carried out by the Agency in financial year 2020/21.

Consistent with the approach taken from the creation of the NTAGO, approximately 97% of audit work is outsourced. This model will remain unchanged.

## LEGAL EXPENSES

12. What has been the expenditure on legal advice or related expenses for the financial year 2019/20? Provide details on:
- The matter(s) (designate which ones are finalised and which ones are ongoing).
  - The amount paid by matter.
  - The amount paid to each outside legal firm or barrister engaged.

**Answer:** The NTAGO had no expenditure on legal advice or related expenses for the financial year 2019/20.

## PROCUREMENT / CONSULTANCIES

13. For the period beginning 1 July 2019 and ending 31 March 2020, please detail expenditure on each report and consultancy (excluding annual reports) that has been obtained from outside the NTPS. For each report/consultancy detail:
- Purpose
  - Cost
  - Person or entity engaged
  - Whether the person or entity has their principal place of business in the Northern Territory or elsewhere (if elsewhere, please provide the address of the principal place of business of the person or entity)
  - Whether a report has been tabled in the Legislative Assembly as a result of the report or consultancy
  - Outcomes or key performance indicators for the report or consultancy
  - Whether tenders or expressions of interest were invited prior to work on the report or consultancy being undertaken

**Answer:** The NTAGO has outsourced the majority of audit tasks since the Office was established in 1982. Outsourcing costs related to the delivery of audit services is classified as consultancy costs. The panel of providers for the current audit services contract, which became effective 2 January 2018 for a period of 36 months comprises seven audit firms (BDO Audit, Deloitte Touché Tohmatsu, KPMG, Merit Partners, TDH Chartered Accountants, Nexia Edwards Marshall and Lowry's Accountants). Consultancy expenditure for the year to date as at 31 March 2020 for the Office is:

|                               |                |
|-------------------------------|----------------|
| Authorised Auditor fees*      | \$3,394,439.11 |
| Other Consultancy fees        | \$0.00         |
| Total Consultancy expenditure | \$3,394,439.11 |

\*The breakdown of Authorised Auditors fees per audit firm as follows:

| <b>Audit firm</b>                    | <b>1 July 2019 to 31 March 2020</b> |
|--------------------------------------|-------------------------------------|
| BDO Audit (NT)                       | \$637,414.60                        |
| Deloitte (NT)                        | \$845,098.65                        |
| KPMG (NT)                            | \$538,172.71                        |
| Lowry's Accountants (NT)             | \$120,928.00                        |
| Merit Partners (NT)                  | \$954,214.47                        |
| Nexia Edwards Marshall (NT)          | \$104,496.63                        |
| TDH Chartered Accountants (NT)       | \$194,114.05                        |
| <b>Total Authorised Auditor fees</b> | <b>\$3,394,439.11</b>               |

14. Please detail expenditure paid, or expected to be paid, to Hawker Britton and/or associated entities for the period beginning 1 July 2019 and ending 31 March 2020. Outline the tasks performed.

**Answer:** The NTAGO did not incur any has not paid and is not expecting to pay any amount to Hawker Britton and/or associated entities for the period 1 July 2019 to 31 March 2020.

15. How many contracts and tenders have been awarded to business entities with their principal place of business in the Northern Territory so far, and what works have been undertaken?

**Answer:** The NTAGO had no contracts awarded from the period 1 July 2019 to 31 March 2020. The last contract awarded by the NTAGO was in October 2017 for the *Provision of Audit Services to the NT Auditor-General* for a period of 36 months. All contracts for the provision of audit services are with entities whose principal place of business is in the Northern Territory.

16. How many contracts have been awarded to business entities with a principal place of business outside the Northern Territory for the period beginning 1 July 2019 and ending 31 March 2020? Detail the work being undertaken by each business entity and the selection criteria for the successful business entity on the applicable contract or tender.

**Answer:** Not applicable. The NTAGO had no contracts awarded to business entities for the period 1 July 2019 to 31 March 2020.

17. For Tier 3, Tier 4 and Tier 5 procurement activities, how many public quotations were undertaken during the period beginning 1 July 2019 and ending 31 March 2020?

**Answer:** Not applicable. The NTAGO had no Tier 3, Tier 4 or Tier 5 procurement activity during the period 1 July 2019 to 31 March 2020.

18. For Tier 3, Tier 4 and Tier 5 procurement activities, how many contracts or tenders were awarded without undertaking a public quotation process during the period beginning 1 July 2019 and ending 31 March 2020?

**Answer:** Not applicable. The NTAGO had no Tier 3, Tier 4 or Tier 5 procurement activity during the period 1 July 2019 to 31 March 2020.

19. For each instance identified in the question above, where a public quotation process was not undertaken, including for Certificates of Exemption:

- a) What is the description of the goods and services contracted?
- b) What is the value of the goods and services contracted?
- c) What was the reason for not using the public quotation process or for requiring a Certificate of Exemption?
- d) Who recommended the course of action in c) above?
- e) Who approved the course of action in c) above?

**Answer:** Not applicable. The NTAGO had no Tier 3, Tier 4 or Tier 5 procurement activity during the period 1 July 2019 to 31 March 2020.

20. Please advise the total number of NTG Corporate Credit Cards within the Agency, including the position titles and levels of the staff holding the corporate credit cards for the purchase of goods and/or services as at 31 March 2020.

**Answer:** The NTAGO has one NTG Corporate Credit Card within the agency held by the Manager Finance and Corporate (Administrative Officer 7) as the cardholder for purchases of goods and/or services as at 31 March 2020.

## **FOCUS GROUPS / POLLING / SURVEYS**

21. Please detail expenditure during the period beginning 1 July 2019 and ending 31 March 2020 on opinion polls and focus groups, including costs and entities that conducted the work.

**Answer:** The NTAGO had no expenditure on opinion polls and focus groups during the period beginning 1 July 2019 and ending 31 March 2020.

22. Please provide copies of the surveys identified in the question above and detail all surveys undertaken, their form, the cost and what inducements were provided to incentivise participation during the period beginning 1 July 2019 and ending 31 March 2020.

**Answer:** Not applicable as no opinion polls and focus groups were conducted per response to Question 21 above.

## COMMUNICATIONS AND MARKETING

23. Please detail expenditure on advertising and communications during the period beginning 1 July 2019 and ending 31 March 2020.

For each advertisement for which an expense was incurred:

- a) What was the purpose / description of the advertisement?
- b) Who was the advertisement placed with, i.e. media outlet, newspaper, and television station or similar?
- c) What was the total production cost, including, but not limited to, design, commissions, and placement costs?
- d) Were tenders or expressions of interest called? If not, why not?

**Answer:** The NTAGO had no expenditure on advertising or communications during the period beginning 1 July 2019 and ending 31 March 2020.

## TRAVEL

24. Please provide the total expenditure and itemised details of travel, including, but not limited to travel-related costs such as accommodation, travel allowance, entertainment, car rental, meals and incidentals, in each Agency and authority for the period beginning 1 July 2019 and ending 31 March 2020 broken down to:

- a) International travel
- b) Interstate travel
- c) Intrastate travel

**Answer:** The NTAGO's details of travel undertaken for the period beginning 1 July 2019 and ending 31 March 2020 are as follows:

| Reference | Types of Travel      | Travel-related Costs |
|-----------|----------------------|----------------------|
| a)        | International travel | \$0.00               |
| b)        | Interstate travel    | \$1,701.54           |
| c)        | Intrastate travel    | \$0.00               |

25. In the case of international travel identified in response to the question above, please provide the purpose, itinerary, persons and costs involved in each trip.

**Answer:** The NTAGO had no international travel undertaken as per response to Question 24 above.

26. Please provide itemised details and itemisation of costs of all travel undertaken by the Minister that was paid for by the Agency or authority, including travel on charters during the period beginning 1 July 2019 and ending 31 March 2020.

**Answer:** The NTAGO has not paid for any ministerial travel during the period beginning 1 July 2019 and ending 31 March 2020.

### **HOSPITALITY / FUNCTIONS AND EVENTS**

27. Please provide full details of all public service hospitality provided for the period beginning 1 July 2019 and ending 31 March 2020.

In relation to each occasion on which official hospitality was undertaken:

- a) What was the purpose of the hospitality?
- b) How many guests attended?
- c) How many Ministers attended?
- d) How many Ministerial staff attended?
- e) How many MLAs attended?
- f) How many Public Sector employees attended?
- g) What was the total cost incurred?

**Answer:** The NTAGO had not provided any public service hospitality for the period beginning 1 July 2019 and ending 31 March 2020.

### **GRANTS AND DONATIONS**

28. Please detail expenditure on grants and donations paid by your Agency (including the recipient of each grant) during the period beginning 1 July 2019 and ending 31 March 2020.

**Answer:** The NTAGO paid no grants and donations during the period beginning 1 July 2019 and ending 31 March 2020.

29. Please detail the funds utilised to distribute awards and sponsorships in the period beginning 1 July 2019 and ending 31 March 2020. Indicate which awards and sponsorships were managed by Regional Offices. What is anticipated for the 2020/21 financial year?

**Answer:** The NTAGO paid no awards and sponsorships during the period beginning 1 July 2019 and ending 31 March 2020. The NTAGO does not distribute awards and sponsorships in the 2020/21 financial year.

30. Please detail the amounts paid on grants to non-Government organisations for the period beginning 1 July 2019 and ending 31 March 2020, including to which organisation and the services to be provided?

**Answer:** The NTAGO paid no grants to non-Government organisations for the period beginning 1 July 2019 and ending 31 March 2020.

### **MEDIA MONITORING SERVICES**

31. Provide expenditure details on media monitoring services for the period beginning 1 July 2019 and ending 31 March 2020 (including entities engaged and who utilises the service).

**Answer:** The NTAGO had no media monitoring services expenditure for the period beginning 1 July 2019 and ending 31 March 2020.

### **INFRASTRUCTURE PROJECTS**

32. How many projects have been submitted or are in the process of being submitted to Infrastructure Australia to be considered for the Infrastructure Priority List?

**Answer:** The NTAGO had no projects submitted or in the process of being submitted to Infrastructure Australia for the period beginning 1 July 2019 and ending 31 March 2020.

33. Please provide details of newly committed projects for the period beginning 1 July 2019 and ending 31 March 2020.

**Answer:** The NTAGO had no newly committed projects for the period beginning 1 July 2019 and ending 31 March 2020.

34. Please provide details of contracts awarded to interstate firms, for what purpose, the cost and why a Territory firm was not chosen.

**Answer:** The NTAGO had no contracts awarded to interstate firms for the period beginning 1 July 2019 and ending 31 March 2020.

### **GOVERNMENT LEASED BUILDINGS**

35. What is the total annual power bill of each Government building owned/leased/used by each Department for the period beginning 1 July 2019 and ending 31 March 2020?

**Answer:** The NTAGO power expenditure for the period beginning 1 July 2019 and ending 31 March 2020 was \$1,271.08.

36. What is the total annual leased space of each Government building used by each Agency/authority and at what cost for the period beginning 1 July 2019 and ending 31 March 2020?

**Answer:** A whole-of-government response to Questions 36 and 37 will be provided by the Minister for Corporate and Information Services.

37. How much Government owned or leased premises or office space is currently under-utilised (at less than 100 per cent occupied) or vacant?

**Answer:** A whole-of-government response to Questions 36 and 37 will be provided by the Minister for Corporate and Information Services.

### **FEES AND CHARGES**

38. Please detail the statutory or legislative fees and charges levied by your Agency/authority, the revenue raised in the 2019/20 financial year and whether any of these fees and charges was increased following the passage of the 2019/20 financial year budget.

**Answer:** As at 31 March 2020, the NTAGO had recoverable audit costs for the audits of statutory entities and audits not directly related to the audit of the Public Account of \$1,754,588.09. This is classified as sales of goods and services in the agency's Budget papers.

The NTAGO had no non-audit related statutory or legislative fees and charges, consequently there has been no increase to fees and charges following the passage of the 2019/20 financial year budget.

## INTERNAL AUDITS

39. How many internal audits and financial investigations were conducted in the period beginning 1 July 2019 and ending 31 March 2020?

**Answer:** The NTAGO conducted two internal audits in relation to compliance with the NT Government Travel policy framework and Cabinet Confidentiality in the period beginning 1 July 2019 and ending 31 March 2020.

40. What were the terms of reference or focus for each investigation?

**Answer:** The terms of reference for the internal audits are detailed below:

| Internal Audit                | Terms of Reference  |
|-------------------------------|---|
| Travel compliance check       | To assess the Agency's compliance with the NT Government Air Travel policy.                   |
| Cabinet confidentiality audit | To assess the Agency's compliance with the NT Government Cabinet Documents Clean Desk Policy. |

41. Please provide detail of any fraud, anomalies, breaches of financial legislation or Northern Territory Government policy and procedures exposed by the audits and financial investigations.

**Answer:** No fraud, anomalies, breaches of financial legislation or Northern Territory Government policy and procedures were identified as a result of internal audits or the independent annual financial statement audit.

## BOARDS / ADVISORY BODIES

42. Please detail all boards and advisory bodies in your Agency in 2019/20, also providing the following information:

- a) The Terms of Reference, if changed from last year
- b) The current members and when they were appointed
- c) The total remuneration paid to each Board member during the 2019/20 financial year
- d) The itemised total cost incurred by the Board during the 2019/20 financial year
- e) The number of times the Board met during the period beginning 1 July 2019 and ending 31 March 2020

**Answer:** Not applicable. The NTAGO does not have any boards or advisory bodies.

## REVIEWS AND INQUIRIES

43. Details of all reviews and inquiries completed or commenced during the 2019/20 financial year, also providing the following information:
- a) The Terms of Reference
  - b) The criteria for selection of all panel members
  - c) The composition, qualifications and state or territory of residence of the persons undertaking the review/inquiry
  - d) The cost of the review/inquiry
  - e) How the information was/is accumulated to contribute to the review/inquiry
  - f) If completed, when, the outcome and whether the report has been tabled in the Legislative Assembly
  - g) If not completed when this is expected

**Answer:** There were no reviews and inquiries undertaken during the 2019/20 financial year.

## WORKPLACE HEALTH AND SAFETY

44. Please provide the number, nature and cost of reportable safety issues for the period beginning 1 July 2019 and ending 31 March 2020.

**Answer:** The NTAGO had no reportable safety issues for the period beginning 1 July 2019 and ending 31 March 2020.

45. Please detail the number of stress related matters and claims for the period beginning 1 July 2019 and ending 31 March 2020.

**Answer:** The NTAGO had no stress related matters and claims for the period beginning 1 July 2019 and ending 31 March 2020.

## REGIONAL OFFICES

46. Please detail expenditure on staff located in regional offices across the Territory. Include the number of staff, their functions and outcomes achieved in the 2019/20 financial year. What are the locations for which they are responsible?

**Answer:** The NTAGO has no regional offices across the Territory.