This strategic plan was endorsed by the Clerk of the Legislative Assembly, the Clerk of the Parliaments and the Executive Manager, Parliamentary Services, and approved by the Presiding Officers on 14 October 2009.
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PREAMBLE: THE ROLES AND FUNCTIONS OF THE PARLIAMENT OF NEW SOUTH WALES

The New South Wales Parliament consists of 93 Members of the Legislative Assembly (the Lower House) and 42 Members of the Legislative Council (the Upper House) who discharge a range of parliamentary duties. In the discharge of their duties, the Members are accountable to the people of New South Wales.

A Member’s duties generally fall into two main categories – legislative duties and constituency duties.

Legislative duties refer to participation in parliamentary matters including the enactment of legislation; debate, discussion and review of issues of public policy and concern; scrutiny of the Executive government to ensure its accountability to the people and serving on parliamentary committees.

In terms of its law making powers, the Governor together with the Parliament, is termed “the Legislature” and under section 5 of the Constitution Act 1902, the Legislature subject to the provisions of the Commonwealth constitution shall “…have power to make laws for the peace, welfare and good government of New South Wales…”.

Constituency duties include the provision of advice to constituents and the advocacy of local interests.

Under the doctrine of the separation of powers, the New South Wales Parliament is a sovereign body that is a necessarily distinct entity from the Executive Government and from the Judiciary.
Both Houses of the Parliament play important roles in the scrutiny of laws for the good government of the State. Other important functions are the review and scrutiny of the finances, policy and administration of the Executive Government, which is largely done through inquiries by committees of both Houses.

The Legislative Assembly is often referred to as the Lower House or the seat of government due to the fact that the Government is formed by the political party which has the majority of Members in the Legislative Assembly.

The Legislative Council (the Upper House) has similar powers to the Legislative Assembly, but it has limitations in respect to some financial bills. Because the majority of bills originate and are considered in the first instance in the Legislative Assembly, the Legislative Council is also referred to as a House of Review.

The Members of both Houses carry out their legislative responsibilities in their respective Chambers in the building known as Parliament House, located at 6 Macquarie Street, Sydney. Members of the Legislative Assembly discharge their constituency duties largely from offices located in their electorates. They also have offices within Parliament House. Members of the Legislative Council, who are elected to represent the State as a whole as one electorate, are provided with offices within Parliament House.

Members of Parliament are assisted in the discharge of their duties by the Department of the Legislative Council, the Department of the Legislative Assembly and the Department of Parliamentary Services.
The Department of the Legislative Council and the Department of the Legislative Assembly (known as the “House” Departments), provide administrative and support services to their Members in the discharge of their legislative and constituency duties.

The Department of Parliamentary Services provides a range of centralised support services to Members and to the House Departments in the areas of financial management, Members’ entitlements, corporate and personnel, library, printing, information technology, Hansard, archives, building services, security, education and catering. Collectively the three departments are referred to as the Parliamentary Administration.

The Parliamentary Administration also provides assistance to a range of external clients and actively promotes and educates the wider community about the role and functions of the Parliament and the parliamentary process.

The Clerk of the Legislative Council (also known as the Clerk of the Parliaments), reporting to the President; the Clerk of the Legislative Assembly, reporting to the Speaker; and the Executive Manager, Parliamentary Services, reporting to the President and the Speaker jointly (the Presiding Officers), are the respective heads of their Departments and are responsible for their administration and management.

Together the three Department heads, reporting to the Presiding Officers, are responsible for the administration and management of the New South Wales Parliament as a whole.

*Further detail is provided in the section of this plan under “Governance Framework”.*
RESULTS AND SERVICES PLAN 2008-09

The most important pre-existing planning document for the whole-of-the Parliament is the Results and Services Plan (RSP). Like all other budget dependent agencies, the Parliament is required to submit an RSP to Treasury. An RSP is described by Treasury as a “strategic medium term service delivery and funding plan”, setting out the linkages between the results an agency is working towards, the services it delivers to contribute to those results and the cost of delivering those services as reflected in the agency’s budget. RSPs are now required to be submitted once every four years at the commencement of each new Parliament. The “results logic” and “results hierarchy” at the commencement of the current RSP, set out below, are the clearest and most up-to-date statement of the strategic directions of the whole-of-the Parliament, agreed to by the Presiding Officers and the heads of the three parliamentary departments. They are therefore an essential starting point for strategic planning within the Parliament.

Results logic: priorities, results and services

Under the Constitution Act 1902, the Parliament has the following roles in providing for a system of representative and responsible government for the people of the New South Wales. The Parliament fulfils its representative and legislative role by:

1. Making laws for the peace, welfare and good government of New South Wales, with the consent of the Governor
2. Providing a forum for supervision and scrutiny of the Executive Government and accountability to the people of New South Wales
3. Providing a forum for debate, discussion and review of issues of public policy and issues of concern to the people of New South Wales.

The Parliament is a government budget dependent agency.

The next page shows the results logic for the Parliament.

The results logic outlines measurable links between services the Parliament delivers and intended results.
THE PARLIAMENT FULFILS ITS ROLE AS A REPRESENTATIVE & LEGISLATIVE BODY

The effective functioning of the Parliament and its Committees

Members of Parliament are supported to fulfil their parliamentary roles

Community access and awareness of the role and functions of the Parliament

Chamber and committee support

Procedural support
- Advice & information
- Research

Chamber support
- Operational support

Committee support
- Secretariat support
- Advice and information
- Public consultation
- Parliamentary reporting (Hansard)

Members’ support

Members’ services
- Human resources
- Entitlement administration

Facilities management
- Parliament House
- Electorate Offices

Information services

Community access

Community education
- School visits
- Tours
- Open days/Education in-service

Exhibitions
- Historical displays
- Art exhibitions
- Expositions

Public events & functions
- Webstreaming of proceedings
- Members’ newsletters
STRATEGIES 2009 – 2018

According to our Results and Services Plan, the result (or outcome) for the people of New South Wales that the Parliamentary Administration strives to achieve is for the Parliament to fulfil its role as a representative and legislative body.

In order to achieve this result, the Parliamentary Administration provides services to ensure:

1. The effective functioning of the Parliament and its committees
2. Members of Parliament are supported to fulfil their Parliamentary roles
3. The community has access to Parliament and is aware of the role and functions of the Parliament.

Underpinning the provision of these services is a commitment by the Parliamentary Administration to organisational capacity building.
The key strategies and initiatives that will be put in place to enable the Parliamentary Administration to deliver our results in the period 2009 – 2018 will be:

1.0 Support for Chamber and Committee Operations

1.1 Provide the accurate, timely and impartial advisory, analytical and administrative support required for the effective functioning of the two Houses and their committees

1.2 Continuously improve the business systems supporting the two Houses and their committees

2.0 Support Members in their Parliamentary Duties

2.1 Provide services in a pro-active manner to support Members at Parliament House and in their electorates

2.2 Obtain feedback from Members about the services and support provided by the Parliamentary Administration

2.3 Make relevant information available to Members in a convenient and comprehensive fashion

2.4 Provide modern, environmentally sustainable and secure environments in which Members can carry out their parliamentary duties

3.0 Promote Community Access

3.1 Promote public knowledge of the parliamentary process and the role of the Parliament through civic education and other programs

3.2 Ensure that visitors have ready access to Parliament House and Members’ electorate offices

3.3 Ensure that the community is aware of and participates in committee activities

4.0 Build the Service Provision Capacity of the Parliamentary Administration

4.1 Attract, train and retain high quality staff

4.2 Ensure that the three parliamentary departments operate in a consultative and mutually supportive manner

4.3 Manage the budget of the Parliament to ensure that core services can continue to be delivered

4.4 Establish clear and robust decision making mechanisms
### INITIATIVES 2009 – 2011 AND TO 2018

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<th>2009-11</th>
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<td><strong>Support for the Houses and committees</strong></td>
<td><strong>Support for the Houses and committees</strong></td>
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<tr>
<td>- Conduct procedural training programs (both for staff, and for Members and their staff) and organise collaborative learning programs</td>
<td>- Continually review standing orders and other procedures</td>
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<td>- Upgrade broadcast, sound and titling systems in the chambers to improve the quality of broadcast and enable greater access to digital records of the Houses</td>
<td>- Apply new technologies in the preparation of business papers and Hansard, and in the processing of tabled documents</td>
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<td>- Improve accessibility of information used in the provision of procedural advice and drafting services</td>
<td>- Increase the use of video-conferencing by committees</td>
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<td>- Trial electronic access to committee documents by members</td>
<td>- Develop innovative consultation methods for use by committees</td>
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<td>- Construct and use a purpose built committee hearing facility at Parliament House</td>
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<td>- Be prepared for the possibility of regional sittings</td>
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### Support for Members

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<th>2009-11</th>
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<tr>
<td>• Conduct training needs analyses for Members and their staff, and initiate subsequent training programs</td>
<td>• Develop and deliver best practice induction programs for new Members, particularly following 2011 and 2015 elections, backed up by ongoing training and support programs</td>
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<tr>
<td>• Conduct ongoing surveys of Member satisfaction with services provided</td>
<td>• Ongoing maintenance and refit of Parliament House (dependent on funding – see below under organisational capacity)</td>
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<tr>
<td>• Establish an on-line system for recording, analysis and response to Member requests, inquiries, feedback and complaints</td>
<td>• Establish appropriate consultation mechanisms with Members and their staff</td>
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<tr>
<td>• Establish appropriate consultation mechanisms with Members and their staff</td>
<td>• Ensure ongoing capital funding and maintenance work for Members’ electorate office fitouts, refurbishment and equipment replacement</td>
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<td>• Deliver electorate office services to Members and electorate office staff</td>
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Community access and awareness

2009-11

- Continually improve the information posted on the Parliament’s website (particularly in relation to the timeliness and depth of information about the work of the two Houses and their committees)
- Review and update brochures, leaflets and fact sheets available to visitors
- Establish communications position in DPS to more actively promote community engagement opportunities, including providing technical support to the House departments in the promotion of opportunities for community engagement with each House and their committees
- Build community awareness activities into committee visits to regional areas
- Implement enhanced security at Parliament House
- Actively market function and banquet facilities and opportunities
- Review room bookings and access policy and practices

2009-18

- Work to achieve community understanding of the difference between the Parliament and the Government
- Conduct a feasibility study for an interactive museum/exhibition for visitors, particularly school groups
- Preserve, and enhance community awareness of and access to, the heritage values of Parliament House
- Continually improve the learning experience of visiting school groups and the support provided for the NSW education curriculum
Strategic Plan 2009 - 2018

2009-11

Organisational capacity

- Investigate feasibility of legislation (Parliament Act) to:
  - Recognise the 3 department structure of the parliamentary service (ie LC, LA and DPS) and the roles of the Presiding Officers, Clerks and EMPS as the department heads
  - Give the Clerks and EMPS the same delegations as other public sector department heads re the employment of staff
  - Sort out the employment arrangements for Members’ staff
  - If possible in this timeframe, also provide a better basis for setting the Parliament’s budget
- Entrench governance arrangements including regular meetings of the Clerks and EMPS, and of the Clerks, EMPS and Presiding Officers
- Clarify procedures for consultation and liaison in relation to the provision of human resources, Members’ entitlements and other services transferred to DPS
- Establish Service Level Agreements
- Complete training needs analyses for management and staff
- Establish robust performance development and management systems

2009-18

- Establish a more appropriate system for the establishment of the Parliament’s budget each year, so as to ensure adequacy of funding into the future
- Build the capacity of staff, and facilitate collaborative relationships of mutual benefit, through participation in exchange programs and capacity building projects with other parliaments
- Build organisational capacity, both for the Parliament of NSW and other parliaments in the Asia-Pacific, through implementation of our twinning arrangements with the National Parliament of the Solomon Islands and the Bougainville House of Representatives and participation in other capacity building projects
- Support and work collaboratively with other organisations supporting parliamentary strengthening, including inter-parliamentary organisations such as the Commonwealth Parliamentary Association
OTHER RELEVANT PLANNING DOCUMENTS

Proposed Total Asset Management Plan 2008-2018

Along with other budget dependent agencies, the Parliament is required to submit any applications for capital funding in the form of proposed Total Asset Management (TAM) submissions. Although agencies are no longer required to submit TAM plans unless nominated by Treasury, TAM plans were required to be submitted annually until 2008.

One of the aims of the TAM planning framework was to require agencies to undertake long term strategic planning for asset management. TAM plans were required to cover the asset acquisition, maintenance and disposal plans and requirements of an agency for the next ten years, with assets linked to the services they support.

The Parliament’s most recent proposed TAM plan was submitted to Treasury in November 2007, covering the period 2008-2018. Set out below is the Assets and Services map, illustrating the alignment between the Parliament’s services as articulated in the RSP and its assets, from the November 2007 TAM plan.

One of the issues discussed in the TAM plan 2008-2018 was the challenge posed by the need to properly conserve the Parliament's buildings, one of the most significant sites of European heritage in Australia, and its collections. To this end a Conservation Management Plan has been adopted which identifies options, constraints and opportunities for conservation of the parliamentary precinct.

Assets and services map

| Vision: THE PARLIAMENT FULFILS ITS ROLE AS A REPRESENTATIVE & LEGISLATIVE BODY |
| Making laws for the peace, welfare and good government of NSW, with the consent of the Governor |
| Providing a forum for the supervision and scrutiny of the Executive Government and accountability to the people of NSW |
| Providing a forum for debate, discussion and review of issues of public policy and issues of concern to the people of NSW |
| Results: |
| The effective functioning of the Parliament and its Committees |
| Members of Parliament are supported to fulfil their parliamentary roles |
| Community access and awareness of the role and functions of the Parliament |
| Services: |
| Chamber and committee support |
| Members’ support |
| Community access |
| Assets supporting services: |
| Heritage building |
| Electorate offices |
| Office building & equip |
| IT equipment |
| Plant |
| Collections |

14
ICT Strategic Plan

NSW Treasury and the NSW Chief Information Office have each issued guidelines concerning Information and Communications Technology (ICT) strategic planning, aimed at ensuring that agencies align their planning for business systems, information management and information and communications technology with their Total Asset Management planning. ICT strategic plans are required to provide a ten year outlook and include analysis of external and internal influences, stakeholder analysis and drivers of ICT asset strategies. Agencies with a budget of $20 million or more are required to submit a separate ICT strategic plan to Treasury and the Chief Information Office. A new ICT strategic plan for the Parliament is currently being prepared.

Strategic Risk Assessment

In 2001 the Parliament commissioned a strategic risk assessment from KPMG to inform risk management arrangements, including future internal audit priorities. A new strategic risk assessment was undertaken by Deloitte in 2006 and this has recently been “refreshed”, again by Deloitte.

The Risk Assessment Refresh 2008/09 Revised Report, dated January 2009, identifies 16 risks and risk management strategies for their mitigation. This document will inform the internal audit plan for the remainder of the 54th Parliament (that is, to 2011).
**Departmental Strategic Plans**

The three parliamentary departments, the Department of the Legislative Council, the Department of the Legislative Assembly and the Department of Parliamentary Services, have each developed strategic plans covering the period 2009-2011 (the end of the current Parliament).

These plans identify both strategic priorities, for the period 2009-2011 and operational imperatives for 2009. Whilst the content of these plans is the sole responsibility of each individual department and their respective Presiding Officer (or Officers in the case of DPS), they are consistent with existing planning documents (eg the Parliament's Results and Services Plan).

**Annual budgets**

In March each year correspondence is received from NSW Treasury advising of the Parliament’s budget allocation for the next financial year and the forward estimates for the three subsequent years. Some of the amounts allocated are clearly earmarked for particular items or projects (eg any new items within the capital expenditure program, and “Protected Items” such as Members’ salaries). The remaining funds (both recurrent and capital) are then allocated between the Parliament's departments and cost centres, by agreement of the Presiding Officers, based on the advice of the Director, Finance and with the support of the Clerks and the Executive Manager, Parliamentary Services.

As well as enabling each Department to plan its operations for the year ahead, this allocation enables submission to Treasury of the narrative and service group statement concerning The Legislature for inclusion in Budget Paper No 3 together with the certification of the accuracy of the forward estimates. This information is required to be submitted by mid-April, with the budget being handed down in May or June. As outlined below, expenditure against the allocated budgets is monitored within each Department through access to the SAP financial information system. Across the Parliament as a whole, expenditure against the budget is monitored through the preparation of monthly finance reports by the Director, Finance.
GOVERNANCE FRAMEWORK

Presiding Officers

The President of the Legislative Council and the Speaker of the Legislative Assembly, the Presiding Officers, have joint responsibility for the operations of the Parliament. Under the Parliamentary Precincts Act the Presiding Officers are jointly responsible for the control of the parliamentary precincts. Under a long standing delegation from the Governor the Presiding Officers are jointly responsible for the employment of officers in the Department of Parliamentary Services, and have sole responsibility for the appointment and dismissal of staff within their respective departments.

Clerks and Executive Manager, Parliamentary Services

In addition to their roles as the principal, impartial advisers to their Presiding Officers and other Members on parliamentary law and procedure in their respective Houses and committees, the Clerks are also the administrative heads, or Chief Executive Officers, of their respective departments. The Clerks are directly responsible to their respective Presiding Officer alone for the management and administration of their respective Department.

The Executive Manager, Parliamentary Services is the administrative head, or Chief Executive Officer, of the Department of Parliamentary Services, which consists of the following parliament-wide support services: security, personnel, financial management, information technology, library services, Hansard, printing, education, archives, building services, catering and Members’ entitlements. The Executive Manager is directly responsible to the Presiding Officers for the management and administration of the Department of Parliamentary Services.

The Clerks and Executive Manager meet regularly (at least monthly) to maintain high level liaison and consult in the development of policies and strategic directions affecting the Parliament as a whole.

In addition to regularly meeting with their respective Presiding Officer (or both Presiding Officers in the case of the Executive Manager), the Clerks and the Executive Manager also meet together as a group with the two Presiding Officers, effectively the parliamentary executive group, to discuss major policy issues affecting the Parliament.
MONITORING, EVALUATION AND REPORTING

Monthly finance reports

Financial performance across the Parliament against the budget is monitored in two ways. Firstly, senior managers access up-to-date financial information from the Parliament’s SAP financial management information system as the need arises. Secondly, each month the Director, Finance prepares a finance report which sets out expenditure during the previous month and for the year-to-date, broken down by the three Departments, and for the Parliament-as-a-whole. Information is provided in relation to employee related expenditure, other operating expenditure, revenue and asset acquisitions (or capital works).

Audit Committee

The Parliament’s Internal Audit Committee consists of: an independent Chair, the Clerks and the Executive Manager, Parliamentary Services. At the invitation of the Audit Committee, internal and external audit representatives, and the Director, Finance, attend meetings as observers. The Parliament’s internal audit services are currently provided by Deloitte. The Parliament’s external auditor, by invitation, is the NSW Audit Office. The primary role of the Audit Committee is to:

• provide assurance to the Presiding Officers as to the adequacy of the Parliament’s financial reporting practices, business ethics, policies and practices, accounting policies and financial controls;

• establish an effective forum for communication between the Clerks, Executive Manager, independent Chair of the Audit Committee, senior management and internal and external auditors; and

• ensure the integrity of the internal audit function.

As noted above, the internal audit program for the remainder of the 54th Parliament (to 2011) will be guided by the Risk Assessment Refresh 2008/09 Revised Report, dated January 2009.
Annual reporting

While there is no statutory requirement to do so, the three parliamentary departments: the Department of the Legislative Council, the Department of the Legislative Assembly and the Department of Parliamentary Services, each produce an annual report on their performance. The reports of the two House Departments are tabled in their respective Houses only. The report of Department of Parliamentary Services is tabled in both Houses. The reports provide detailed information on the performance against strategic priorities and operational imperatives and comply with the spirit of the annual reporting legislation applicable to government departments. The three annual reports each include the audited financial statements and independent auditor’s report for the Parliament as a whole.