

1. The total number of Code of Conduct Investigations **commenced** each year by IP Australia since 2000 to date and, in each instance:

Year	Total commenced
2017/18	1
2016/17	2
2015/16	0
2014/15	3
2013/14	2
2012/13	After extensive searches undertaken by IP Australia's HR and records management team, the data relating to when code of conduct investigations <u>commenced</u> for this period was unable to be located and may not have been captured by our systems prior to 2013 (section 24(A)(1)(b)).
2011/12	As above
2010/11	As above
2009/10	As above
2008/09	As above
2007/08	As above
2006/07	As above
2005/06	As above
2004/05	As above
2003/04	As above
2002/03	As above
2001/02	As above
2000/01	As above

a) The complaint/s or behaviour/s which led to the allegation/s under investigation;

Year	Complaints/ Behaviours
2017/18	Allegations of: <ul style="list-style-type: none"> - false or misleading information in response to a request for information that is made for official purposes in connection with the employee's APS employment.
2016/17	Allegations of: <ul style="list-style-type: none"> - dishonest timekeeper recording
2015/16	Nil commenced
2014/15	Allegations of: <ul style="list-style-type: none"> - fraudulent work practices - provision of misleading information
2013/14	Allegations of: <ul style="list-style-type: none"> - unprofessional behaviour - inappropriate behaviour
2012/13	After extensive searches undertaken by IP Australia's HR and records management team, the data relating to <u>complaints or behaviours</u> which led to allegations under investigations for this period was unable to be located and may have not been captured by our systems prior to 2013 (section 24(A)(1)(b)).
2011/12	As above
2010/11	As above
2009/10	As above
2008/09	As above
2007/08	As above
2006/07	As above
2005/06	As above
2004/05	As above
2003/04	As above
2002/03	As above
2001/02	As above
2000/01	As above

2. The total number of Code of Conduct Investigations **completed** each year by IP Australia since 2000 to date and, in each instance;

Year	Completed
2017/18	2
2016/17	1
2015/16	0
2014/15	2
2013/14	2
2012/13	1
2011/12	0
2010/11	1
2009/10	5
2008/09	2
2007/08	After extensive searches undertaken by the HR team and records management, the data relating to code of conduct investigations for this period was unable to be located and may not have been captured by our systems (section 24(A)(1)(b)).
2006/07	3
2005/06	4
2004/05	6
2003/04	After extensive searches undertaken by the HR team and records management, the data relating to code of conduct investigations for this period was unable to be located and may not have been captured by our systems (section 24(A)(1)(b)).
2002/03	0
2001/02	1
2000/01	After extensive searches undertaken by the HR team and records management, the data relating to code of conduct investigations for this period was unable to be located and may not have been captured by our

	systems (section 24(A)(1)(b)).
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a) The complaint/s or behaviour/s which led to the allegation/s under investigation;

Year	Complaints/ Behaviours
2017/18	<ul style="list-style-type: none"> - 2x Behave honestly and with integrity in connection with APS employment (s.13(1)) - 2x Act with care and diligence in connection with APS employment (s. 13(2)) - 1x Comply with any lawful and reasonable direction given by someone in the employee's Agency who has authority to give the direction (s. 13(5)) - 1x Use Commonwealth resources in a proper manner and for a proper purpose (s. 13(8)) - 1x At all times behave in a way that upholds the APS Values and APS Employment Principles, and the integrity and good reputation of the employee's Agency and the APS (s. 13(11))
2016/17	<ul style="list-style-type: none"> - 1x Behave honestly and with integrity in connection with APS employment (s.13(1)) - 1x Act with care and diligence in connection with APS employment (s.13(2)) - 1x At all times behave in a way that upholds the APS Values and APS Employment Principles, and the integrity and good reputation of the employee's Agency and the APS (s. 13(11))
2015/16	<ul style="list-style-type: none"> - Nil commenced
2014/15	<ul style="list-style-type: none"> - 2x Behave honestly and with integrity in connection with APS employment (s. 13(1)) - 2x Not provide false or misleading information in response to a request for information that is made for official purposes in connection with the employee's APS employment (s. 13(9))
2013/14	<ul style="list-style-type: none"> - 1x Behave honestly and with integrity in connection with APS employment (s. 13(1)) - 1x Act with care and diligence in connection with APS employment (s. 13(2)) - 2x When acting in connection with APS employment, treat everyone with respect and courtesy, and without harassment (s.

	<p>13(3))</p> <ul style="list-style-type: none"> - 1x Comply with any lawful and reasonable direction given by someone in the employee's Agency who has authority to give the direction (s. 13(5)) - 1 x At all times behave in a way that upholds the APS Values and APS Employment Principles, and the integrity and good reputation of the employee's Agency and the APS (s.13(11))
2012/13	<ul style="list-style-type: none"> - 1x Act with care and diligence in the course of APS employment (s.13(2)) - 1x When acting in the course of APS employment, treat everyone with respect and courtesy, and without harassment (s. 13(3)) - 1x Comply with any lawful and reasonable direction given by someone in the employee's Agency who has authority to give the direction (s. 13(5))
2011/12	<ul style="list-style-type: none"> - Nil commenced
2010/11	<ul style="list-style-type: none"> - 1x When acting in the course of APS employment, treat everyone with respect and courtesy, and without harassment (s. 13(3))
2009/10	<ul style="list-style-type: none"> - 2x Behave honestly and with integrity in the course of APS employment - 1x Act with care and diligence in the course of APS employment - 4x When acting in the course of APS employment, treat everyone with respect and courtesy, and without harassment - 1x Comply with any lawful and reasonable direction given by someone in the employee's Agency who has authority to give the direction - 2x At all times behave in a way that upholds the APS Values and the integrity and good reputation of the APS
2008/09	<ul style="list-style-type: none"> - 2x Behave honestly and with integrity in the course of APS employment - 1x Act with care and diligence in the course of APS employment - 1x Comply with any lawful and reasonable direction given by someone in the employee's Agency who has authority to give the direction - 1x Use Commonwealth resources in a proper manner

	<ul style="list-style-type: none"> - 2x At all times behave in a way that upholds the APS Values and the integrity and good reputation of the APS
2007/08	After extensive searches undertaken by the HR team and records management, the data relating to code of conduct investigations for this period was unable to be located and may not have been captured by our systems (section 24(A)(1)(b)).
2006/07	<ul style="list-style-type: none"> - 2x Behave honestly and with integrity in the course of APS employment - 1x Act with care and diligence in the course of APS employment - 1x When acting in the course of APS employment, treat everyone with respect and courtesy, and without harassment - 1x Comply with any lawful and reasonable direction given by someone in the employee's Agency who has authority to give the direction - 1x Use Commonwealth resources in a proper manner - 3x At all times behave in a way that upholds the APS Values and the integrity and good reputation of the APS
2005/06	<ul style="list-style-type: none"> - 1x Behave honestly and with integrity in the course of APS employment - 4x When acting in the course of APS employment, treat everyone with respect and courtesy, and without harassment
2004/05	<ul style="list-style-type: none"> - 6x Behave honestly and with integrity in the course of APS employment - 4x Act with care and diligence in the course of APS employment - 1x When acting in the course of APS employment, treat everyone with respect and courtesy, and without harassment - 6x Comply with any lawful and reasonable direction given by someone in the employee's Agency who has authority to give the direction - 1x Disclose, and take reasonable steps to avoid, any conflict of interest (real or apparent) in connection with APS employment - 6x Use Commonwealth resources in a proper manner - 1x Not make improper use of: inside information, or the employee's duties,

	<p>status, power or authority, in order to gain, or seek to gain, a benefit or advantage for the employee or for any other person</p> <ul style="list-style-type: none"> - 3x At all times behave in a way that upholds the APS Values and the integrity and good reputation of the APS
2003/04	After extensive searches undertaken by the HR team and records management, the data relating to code of conduct investigations for this period was unable to be located and may not have been captured by our systems (section 24(A)(1)(b)).
2002/03	Nil
2001/02	<ul style="list-style-type: none"> - 1x Behave honestly and with integrity in the course of APS employment
2000/01	After extensive searches undertaken by the HR team and records management, the data relating to code of conduct investigations for this period was unable to be located and may not have been captured by our systems (section 24(A)(1)(b)).

b) Whether a breach was found to have occurred

Year	Whether breach/es occurred
2017/18	2
2016/17	1
2015/16	Nil
2014/15	2
2013/14	2
2012/13	1
2011/12	Nil
2010/11	1
2009/10	4
2008/09	2
2007/08	After extensive searches undertaken by the HR team and records management, the data relating to code of conduct investigations for this period was unable to

	be located and may not have been captured by our systems (section 24(A)(1)(b)).
2006/07	1
2005/06	2
2004/05	6
2003/04	After extensive searches undertaken by the HR team and records management, the data relating to code of conduct investigations for this period was unable to be located and may not have been captured by our systems (section 24(A)(1)(b)).
2002/03	Nil
2001/02	After extensive searches undertaken by the HR team and records management, the data relating to code of conduct investigation <u>breaches</u> for this period was unable to be located and may not have been captured by IP Australia's systems (section 24(A)(1)(b)).
2000/01	After extensive searches undertaken by the HR team and records management, the data relating to code of conduct investigations for this period was unable to be located and may not have been captured by our systems (section 24(A)(1)(b)).

c) What breach/es was/were found;

Year	What breach/es occurred
2017/18	<ul style="list-style-type: none"> - 1x Behave honestly and with integrity in connection with APS employment (s. 13(1)) - 2x Act with care and diligence in connection with APS employment (s. 13(2)) - 1x Comply with any lawful and reasonable direction given by someone in the employee's Agency who has authority to give the direction (s. 13(5)) - 1x Use Commonwealth resources in a proper manner and for a proper purpose (s. 13(8)) - 1x At all times behave in a way that upholds the APS Values and APS Employment Principles, and the integrity and good reputation of the employee's Agency and the APS (s. 13(11))

2016/17	<ul style="list-style-type: none"> - 1x Behave honestly and with integrity in connection with APS employment (s.13(1)) - 1x Act with care and diligence in connection with APS employment (s.13(2)) - 1x At all times behave in a way that upholds the APS Values and APS Employment Principles, and the integrity and good reputation of the employee's Agency and the APS (s. 13(11))
2015/16	<ul style="list-style-type: none"> - Nil
2014/15	<ul style="list-style-type: none"> - 2 x Behave honestly and with integrity in connection with APS employment (s. 13(1)) - 2 x Not provide false or misleading information in response to a request for information that is made for official purposes in connection with the employee's APS employment (s. 13(9))
2013/14	<ul style="list-style-type: none"> - 1x Act with care and diligence in connection with APS employment (s. 13(2)) - 1x When acting in connection with APS employment, treat everyone with respect and courtesy, and without harassment (s. 13(3)) - 1x Comply with any lawful and reasonable direction given by someone in the employee's Agency who has authority to give the direction (s. 13(5))
2012/13	<ul style="list-style-type: none"> - 1x Act with care and diligence in the course of APS employment (s.13(2)) - 1x When acting in the course of APS employment, treat everyone with respect and courtesy, and without harassment (s. 13(3)) - 1x Comply with any lawful and reasonable direction given by someone in the employee's Agency who has authority to give the direction (s. 13(5))
2011/12	<ul style="list-style-type: none"> - Nil
2010/11	<ul style="list-style-type: none"> - 1x When acting in the course of APS employment, treat everyone with respect and courtesy, and without harassment (s. 13(3))
2009/10	<ul style="list-style-type: none"> - 1x Behave honestly and with integrity in the course of APS employment - 3x When acting in the course of APS employment, treat everyone with respect and courtesy, and without harassment - 1x Comply with any lawful and reasonable direction given by someone in the employee's Agency who has authority to give the direction - 2x At all times behave in a way that upholds the APS Values and the integrity and good

	reputation of the APS
2008/09	<ul style="list-style-type: none"> - 2x Behave honestly and with integrity in the course of APS employment - 1x Act with care and diligence in the course of APS employment - 1x Comply with any lawful and reasonable direction given by someone in the employee's Agency who has authority to give the direction - 2x At all times behave in a way that upholds the APS Values and the integrity and good reputation of the APS
2007/08	After extensive searches undertaken by the HR team and records management, the data relating to code of conduct investigations for this period was unable to be located and may not have been captured by our systems (section 24(A)(1)(b)).
2006/07	<ul style="list-style-type: none"> - 1x Act with care and diligence in the course of APS employment - 1x Comply with any lawful and reasonable direction given by someone in the employee's Agency who has authority to give the direction - 1x Use Commonwealth resources in a proper manner
2005/06	<ul style="list-style-type: none"> - 1x Behave honestly and with integrity in the course of APS employment - 1x When acting in the course of APS employment, treat everyone with respect and courtesy, and without harassment
2004/05	<ul style="list-style-type: none"> - 1x Behave honestly and with integrity in the course of APS employment - 1x Act with care and diligence in the course of APS employment - 1x When acting in the course of APS employment, treat everyone with respect and courtesy, and without harassment - 6x Comply with any lawful and reasonable direction given by someone in the employee's Agency who has authority to give the direction - 1x Disclose, and take reasonable steps to avoid, any conflict of interest (real or apparent) in connection with APS employment - 4x Use Commonwealth resources in a proper manner - 1x At all times behave in a way that upholds the APS Values and the integrity and good reputation of the APS
2003/04	After extensive searches undertaken by the HR team and records management, the data relating to code of conduct investigations for this period was unable to

	be located and may not have been captured by our systems (section 24(A)(1)(b)).
2002/03	- Nil
2001/02	After extensive searches undertaken by the HR team and records management, the data relating to code of conduct investigation <u>breaches</u> for this period was unable to be located and may not have been captured by IP Australia's systems (section 24(A)(1)(b)).
2000/01	After extensive searches undertaken by the HR team and records management, the data relating to code of conduct investigations for this period was unable to be located and may not have been captured by our systems (section 24(A)(1)(b)).

d) Whether a sanction/s was/were imposed

Year	Total commenced
2017/18	Yes
2016/17	Yes
2015/16	Nil
2014/15	Yes
2013/14	Yes
2012/13	No
2011/12	Nil
2010/11	Yes
2009/10	Yes
2008/09	No
2007/08	After extensive searches undertaken by the HR team and records management, the data relating to code of conduct investigations for this period was unable to be located and may not have been captured by our systems (section 24(A)(1)(b)).
2006/07	No

2005/06	Yes
2004/05	Yes
2003/04	After extensive searches undertaken by the HR team and records management, the data relating to code of conduct investigations for this period was unable to be located and may not have been captured by our systems (section 24(A)(1)(b)).
2002/03	nil
2001/02	After extensive searches undertaken by the HR team and records management, the data relating to code of conduct investigation <u>sanctions</u> for this period was unable to be located and may not have been captured by IP Australia's systems (section 24(A)(1)(b)).
2000/01	After extensive searches undertaken by the HR team and records management, the data relating to code of conduct investigations for this period was unable to be located and may not have been captured by our systems (section 24(A)(1)(b)).

e) What sanction/s was/were imposed

Year	Sanctions
2017/18	- 1x reprimand
2016/17	- 1x Reduction in classification
2015/16	- Nil
2014/15	- 1x reprimand - 1x termination
2013/14	- 1x reprimand - 1x reduction of salary by way of a fine
2012/13	- No sanction
2011/12	- Nil
2010/11	- 1x Reduction in salary and employee counselled
2009/10	- 3x Deductions from salary by way of a fine
2008/09	- No sanction
2007/08	After extensive searches undertaken by the HR team and records management, the data relating to code of

	conduct investigations for this period was unable to be located and may not have been captured by our systems (section 24(A)(1)(b)).
2006/07	- No sanction
2005/06	- 1x Reprimand - 1x Reduction in salary
2004/05	- 1x Reduction in classification - 1x Reduction in salary - 1x Deductions from salary by way of a fine - 2x Reprimand - 2x Counselling
2003/04	After extensive searches undertaken by the HR team and records management, the data relating to code of conduct investigations for this period was unable to be located and may not have been captured by our systems (section 24(A)(1)(b)).
2002/03	Nil
2001/02	After extensive searches undertaken by the HR team and records management, the data relating to code of conduct investigation <u>sanctions</u> for this period was unable to be located and may not have been captured by our systems (section 24(A)(1)(b)).
2000/01	After extensive searches undertaken by the HR team and records management, the data relating to code of conduct investigations for this period was unable to be located and may not have been captured by our systems (section 24(A)(1)(b)).