



Australian Government

Department of Jobs and Small Business

# Procedures for Determining Breaches of the APS Code of Conduct and Deciding Sanctions

[jobs.gov.au](http://jobs.gov.au)

I, Stuart Watson, delegate of the Secretary of the Department of Jobs and Small Business ('the department'), establish these procedures under subsection 15(3) of the *Public Service Act 1999* ('the Act').

These procedures commence on 22 August 2018.

These procedures supersede the procedures commenced on 27 February 2014.



Stuart Watson  
Branch Manager  
People Branch

## Contents

1. Application of Procedures	4
2. Availability of Procedures	4
3. Breach Decision Maker and Sanction Delegate	4
4. Independent and Unbiased	6
5. The Determination Process	6
6. Sanctions	7
7. Record of Determination and Sanction	8
8. Procedure When an Ongoing Employee is to Move to Another Agency	8

## 1. Application of Procedures

- 1.1. These procedures apply in determining whether a person who is an APS employee in the department, or who is a former APS employee who was employed in the department at the time of the suspected misconduct, has breached the APS Code of Conduct ('the Code') in section 13 of the *Public Service Act 1999* ('the Act').
- 1.2. These procedures apply in determining any sanction to be imposed on an APS employee in the department who has been found to have breached the Code.
- 1.3. These procedures, as they apply to determining whether there has been a breach of the Code, apply to any suspected breach of the Code except where a decision had been made before 22 August 2018 to begin an investigation to determine whether there had been a breach of the Code.
- 1.4. These procedures, as they apply to determining any sanction for breach of the Code, apply where a sanction decision is under consideration on or after 22 August 2018.
- 1.5. In these procedures, a reference to a breach of the Code by a person includes a reference to a person engaging in conduct set out in subsection 15(2A) of the Act in connection with their engagement as an APS employee.

Note: Not all suspected breaches of the Code need to be dealt with by way of determination under these procedures. In particular circumstances, another way of dealing with a suspected breach of the Code may be more appropriate, including performance management.

## 2. Availability of Procedures

- 2.1. As provided for in subsection 15(7) of the Act, these procedures are publicly available on the department's website.

## 3. Breach Decision Maker and Sanction Delegate

- 3.1. As soon as reasonably practicable after a suspected breach of the Code has been identified, and the Secretary, or a person authorised by the Secretary, has decided to deal with the suspected breach under these procedures, an appropriate Delegate ('the breach decision maker') will take responsibility for making a determination under these procedures.

Note: The Australian Public Service Commissioner's Directions 2016 provide that an Agency Head must have regard to any relevant standards and guidance issued by the Australian Public Service Commissioner when considering whether to initiate an inquiry under the procedures established by the Agency Head under subsection 15(3) of the Act (section 40).

- 3.2. A person occupying one of the following roles will be the breach decision maker unless it is decided by the Secretary or delegate that it is more appropriate to appoint another person having regard to all the circumstances:

- a) Deputy Secretary, Employment
  - b) Deputy Secretary, Workplace Relations & Small Business
  - c) Deputy Secretary, Corporate
  - d) Group Manager, People and Communications
  - e) Branch Manager, People
  - f) Director, Performance and Wellbeing.
- 3.3. The role of the breach decision maker is to determine, in writing, whether a breach of the Code has occurred.
- 3.4. The breach decision maker may seek the assistance of an administrative investigator with matters including investigating the alleged breach, gathering evidence and making a report of recommended factual findings to the breach decision maker. It is open to an administrative investigator to make recommendations to the breach decision maker as to whether breaches of the Code have occurred, however it remains the responsibility of the breach decision maker to ultimately determine whether a breach of the Code has occurred.
- 3.5. The person who is to decide what, if any, sanction is to be imposed on an APS employee found to have breached the Code ('the sanction delegate') will be a person holding delegation of the powers under the Act to impose sanctions.
- 3.6. These procedures do not prevent the breach decision maker from being the sanction delegate in the same matter.
- Note: Any delegation of powers under the Act that is proposed to be made to a person who is not an APS employee or a person appointed to an office by the Governor-General, or by a Minister, under a law of the Commonwealth, must be approved in writing in advance by the Australian Public Service Commissioner. This is required by subsection 78(8) of the Act. This would include delegation of the power under subsection 15(1) to impose a sanction.
- Note: Appointment as a breach decision maker under these procedures does not empower the breach decision maker to make a decision regarding sanction. Only the Secretary or a person who has been delegated the power under section 15 of the Act and related powers, such as under section 29 of the Act, may make a sanction decision.
- 3.7. The breach decision maker and the sanction delegate must have regard to the Australian Public Service Commission's publication, '[Handling Misconduct: A human resources practitioner's guide to the reporting and handling of suspected and determined breaches of the APS Code of Conduct](https://www.apsc.gov.au/handling-misconduct-human-resource-managers-guide)' (<https://www.apsc.gov.au/handling-misconduct-human-resource-managers-guide>) in making the determination and the decision in relation to sanction.

## 4. Person or Persons Making Breach Determination and Imposing Any Sanction to be Independent and Unbiased

- 4.1. The breach decision maker and the sanction delegate must be, and appear to be, independent and unbiased.
- 4.2. The breach decision maker and the sanction delegate must, in writing, advise the Secretary or their manager if they consider that they may not be independent and unbiased or if they consider that they may reasonably be perceived not to be independent and unbiased, for example if they are a witness in the matter.

## 5. The Determination Process

- 5.1. The process for determining whether a person who is, or was, an APS employee in the department has breached the Code must be carried out with as little formality, and with as much expedition, as a proper consideration of the matter allows.
- 5.2. The process must be consistent with the principles of procedural fairness.

Note: Procedural fairness generally requires that:

- the person suspected of breaching the Code is informed of the case against them (i.e. any material that is before the decision maker that is adverse to the person or their interests and that is credible, relevant and significant)
  - the person is provided with a reasonable opportunity to respond and put their case, in accordance with these procedures, before any decision is made on breach or sanction
  - the decision maker acts without bias or an appearance of bias
  - there is logically probative evidence to support the making, on the balance of probabilities, of adverse findings.
- 5.3. A determination may not be made in relation to a suspected breach of the Code by a person unless reasonable steps have been taken to:
    - a) inform the person of:
      - i) the details of the suspected breach of the Code (including any subsequent variation of those details); and
      - ii) where the person is an APS employee, the sanctions that may be imposed on them under subsection 15 (1) of the Act;
    - and
    - b) give the person a reasonable opportunity to make a written statement, or provide further evidence in relation to the suspected breach.

Note: This clause is designed to ensure that by the time the breach decision maker comes to make a determination, reasonable steps have been taken for the person suspected of breach to be informed of the case against them. It will generally also be good practice to give the person notice at an early stage in the process of a summary of the details of the suspected breach that are available at that time and notice of the elements of the Code that are suspected to have been breached.

Note: The breach decision maker may decide to give the person the opportunity to make an oral statement as well as a written statement.

- 5.4. The statement should be provided within seven calendar days or any longer period that is allowed by the breach decision-maker.
- 5.5. A person who does not make a statement in relation to the suspected breach is not, for that reason alone, to be taken to have admitted to committing the suspected breach.
- 5.6. For the purpose of determining whether a person who is, or was, an APS employee in the department has breached the Code, a formal hearing is not required.
- 5.7. The breach decision maker or an administrative investigator assisting the breach decision maker, where they consider in all the circumstances that the request is reasonable, must agree to a request made by the person who is suspected of breaching the Code to have a support person present in a meeting or interview they conduct.

## 6. Sanctions

- 6.1. The process for deciding on sanctions must be consistent with the principles of procedural fairness.
- 6.2. If a determination is made that an APS employee in the department has breached the Code, a sanction may not be imposed on the employee unless reasonable steps have been taken to:
  - a) inform the employee of:
    - the determination that has been made;
    - the sanction or sanctions that are under consideration; and
    - the factors that are under consideration in determining any sanction to be imposed; and
  - b) give the employee a reasonable opportunity to make a written statement in relation to the sanction or sanctions under consideration.

Note: The sanction delegate may decide to give the employee the opportunity to make an oral statement as well as a written statement.

- 6.3. The statement should be provided within seven calendar days or any longer period that is allowed by the sanction delegate.

## 7. Record of Determination and Sanction

- 7.1. If a determination in relation to a suspected breach of the Code by a person who is, or was, an APS employee in the department is made, a written record must be made of:
- a) the suspected breach; and
  - b) the determination; and
  - c) where the person is an APS employee, any sanctions imposed as a result of a determination that the employee has breached the Code; and
  - d) if a statement of reasons was given to the person regarding the determination in relation to the suspected breach of the Code, or, in the case of an employee, regarding the sanction decision – that statement of reasons or those statements of reasons.
- 7.2. The *Archives Act 1983* and the *Privacy Act 1988* apply to a record made under this section.

## 8. Procedure When an Ongoing Employee is to Move to Another Agency

- 8.1. This clause applies if:
- a) a person who is an ongoing APS employee in the department is suspected of having breached the Code; and
  - b) the employee has been informed of the matters mentioned in 5.3(a); and
  - c) the matter has not yet been resolved; and
  - d) a decision has been made that, apart from this clause, the employee would move to another agency in accordance with section 26 of the Act (including on promotion).
- 8.2. Unless the Secretary or delegate and the new Agency Head agree otherwise, the movement (including on promotion) does not take effect until the matter is resolved.
- 8.3. For the purpose of this clause the matter is taken to be resolved when:
- e) a determination in relation to suspected breach of the Code is made in accordance with these procedures; or
  - f) the Secretary or delegate decides that a determination is not necessary.

Policy Owner:	Performance and Wellbeing
Document Status:	Final
Point of Contact:	Director, Performance and Wellbeing, People Branch, People and Communication Group, Department of Jobs and Small Business Telephone: (02) 6121 5136
Approver:	Stuart Watson
Approval Authority:	Branch Manager, People Branch, Department of Jobs and Small Business
Date of Approval:	22 August 2018



With the exception of the Commonwealth Coat of Arms, the Department's logo, any material protected by a trade mark and where otherwise noted all material presented in this document is provided under a [Creative Commons Attribution 3.0 Australia](http://creativecommons.org/licenses/by/3.0/au/) (<http://creativecommons.org/licenses/by/3.0/au/>) licence.

The details of the relevant licence conditions are available on the Creative Commons website (accessible using the links provided) as is the full legal code for the [CC BY 3.0 AU licence](http://creativecommons.org/licenses/by/3.0/au/legalcode) (<http://creativecommons.org/licenses/by/3.0/au/legalcode>).

The document must be attributed as the 'Procedures for Determining Breaches of the APS Code of Conduct and Deciding Sanctions'.