

## 2021 EMPLOYER PARTICIPATION DETAILS

EMPLOYER / ORGANISATION DETAILS	
Organisation Name:	Australian Securities and Investments Commission
Sector:	Public/Government: Federal
Employer Size (within Australia):	2,000 – 8,000 employees
Regional Employers	Is your head office Regional? No
Global Employers	Do you have international offices: No Is your head office in Australia: Yes
<b>Contact Person for the Index:</b> <i>This is the person we should contact if we have any questions. Email results will also be sent to this person and hard copy participation certificates will be mailed to this person.</i>	<b>Name:</b> Jesse Brown <b>Position Title:</b> Deputy Chair, Rainbow Network/EA & Senior Advisor (Projects), People & Development <b>Postal address:</b> Level 5, 100 Market Street, Sydney NSW 2000 <b>Phone number:</b> S 47F [REDACTED] <b>Email:</b> S 47F [REDACTED]

INTERNATIONAL WORKPLACE INDEX PARTICIPATION	
Do you participate in any other workplace equality indices globally?	N/A

INDUSTRY BENCHMARKS	
Participating employers will by default be benchmarked according to: <ul style="list-style-type: none"> <li>• Sector: Public / Private / NFP / Higher Education</li> <li>• Government: Federal, State, Local</li> <li>• Employer Size</li> <li>• Awarded Tier Recognition</li> <li>• Global Employers</li> </ul> <i>All benchmarking tables will be provided for comparison, but only those that reflect your dominant industry/business should be selected here.</i>	<input type="checkbox"/> All listed ASX Top 50 <input type="checkbox"/> Banking & Financial Services <input type="checkbox"/> Legal

DISCLOSURE RECOGNITION	
Please select participation identification level at which we can identify you (Name and Employer Tier only, no scores)	Only identify us if we reach Bronze Tier or higher

ADDITIONAL AWARD SUBMISSIONS	
<p><b>Have you considered nominating someone for an LGBTQ Inclusion Award?</b> Please list any other LGBTQ Inclusion Awards that you are submitting for this year within the AWEI. This provides us with a cross-check reference to ensure that all expected submissions are received.</p> <ul style="list-style-type: none"> <li>Consider nominating a group or individual for their extensive work in LGBTQ inclusion within your organisation</li> <li>More than one nomination in each category may be received</li> <li>Individual Nomination submission forms can be found here: <a href="http://www.pid-awe.com.au/submission-documents/">http://www.pid-awe.com.au/submission-documents/</a></li> </ul>	<p><b>Award Nomination Categories:</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> CEO of the Year Award: <a href="#">(insert nominee name/s)</a></li> <li><input type="checkbox"/> Executive Leadership Award: <a href="#">(insert nominee name/s)</a></li> <li><input type="checkbox"/> External Media Campaign Award: <a href="#">(insert nominee name/s)</a></li> <li><input type="checkbox"/> OUT Role Model Award: <a href="#">(insert nominee name/s)</a></li> <li><input type="checkbox"/> Network Leader of the Year Award: <a href="#">(insert nominee name/s)</a></li> <li><input type="checkbox"/> Sally Webster Ally Award: <a href="#">(insert nominee name/s)</a></li> <li><input type="checkbox"/> Sapphire Inspire Award for LGBTQ Women: <a href="#">(insert nominee name/s)</a></li> </ul>

NEGATIVE PRESS / COMPLAINTS DISCLOSURE
<ul style="list-style-type: none"> <li>We have received negative press that has impacted our reputation as an LGBTQ inclusive employer</li> <li>Formal complaints were lodged against us for LGBTQ discrimination, bullying or harassment (Fair Work Ombudsman, Human Rights Commission, Sex Discrimination Act)</li> <li>We understand that up to 25 points <b>may be</b> deducted from our score if we have received a significant amount of negative press regarding an anti-LGBTQ incident where our organisation was responsible and insufficient action was taken to rectify this.</li> </ul> <p>In relation to the above (maintaining required confidentiality), please broadly outline your course of action or response/outcomes of any complaints lodged: N/A</p>

ACCURACY STATEMENT	
We confirm that at the time of submission, details provided for all questions identified within the three submission documents are true and accurate. We understand that should any claims be found to be false, points and rankings will be adjusted accordingly.	
<b>Name of person signing off accuracy:</b>	Leigh Coughlan
<b>Position within organisation:</b>	Chair, Rainbow Network/Senior Manager, Financial Capability
<b>Contact Email:</b>	s 47F
<b>Contact Phone:</b>	

## 2021 STANDARD EMPLOYER AWEI

### SECTION 1: STANDING SUBMISSION

This section pertains to LGBTQ inclusion within organisational policies and practice.

The Standing Submission includes:	
<b>HR Policy &amp; Diversity Practice:</b>	Standard practices within HR Policies and explicit LGBTQ inclusion within them; including third party policies
<b>LGBTQ Bullying / Harassment &amp; Support:</b>	Tracking and handling of potential incidents and support for LGBTQ employees, should this occur
<b>Trans &amp; Gender Diverse Inclusion:</b>	Explicit policy inclusion for trans and gender diverse employees; including leave, forms, titles and dress codes
<b>Strategic Focus:</b>	Accountabilities and role responsibilities for HR and Executive staff; external / customer facing inclusion promotions

#### IMPORTANT NOTE:

If you have submitted an AWEI last year, ***you may choose to carry over your point allocations within Section 1: Standing Submission only.***

- **If you wish to carry over your entire Standing Submission scores from last year, please leave Section 1: Standing Submission blank.**  
(Recommended if you are satisfied with your previous scores and/or no further work has been done in this section.)

OR:

- **If you wish to submit (or re-submit) for any question/s within Section 1: Standing Submission, please submit evidence for the individual question/s applicable.**

#### SUMMARY:

- **If you leave a question blank within this section, we will not change the score from last year.**
- **If you submit evidence for any question below, the evidence and score will be re-evaluated based only on the evidence supplied within this Submission (last year's evidence will not be referenced, so you must re-submit all evidence requested).**

#### Please provide the name and contact details of your Senior HR person:

<b>Senior HR Person:</b>	Jen Pallath - Manager, Diversity & Inclusion
<b>Contact Details (email / phone):</b>	S 47F [REDACTED]

**Should we require clarification/verification for any particular question within Section 1: Standing Submission, we will contact this individual. If this contact is not supplied, it may result in a loss of points for questions within this section.**

**For further support and clarification: Please download the [AWEI Scoring Guidelines](#) or refer to the [AWEI Tools and Support](#) webpage.**

## STANDING SUBMISSION: HR POLICY & DIVERSITY PRACTICE

STANDING SUBMISSION: HR POLICY & DIVERSITY PRACTICE	<b>FOUNDATION</b>
<b>1. Removal of the terms: 'Sexual Preference' or 'Lifestyle Choice(s)'</b>	<b>Max. 2 points</b>
<p>We have conducted a review to ensure that any reference to 'sexual preference' or 'lifestyle choice' within our policy documentation, diversity references, on external facing websites and company intranet pages has been replaced with the words 'sexual orientation.'</p> <p><i>Please provide an outline of progress to date.</i></p>	

STANDING SUBMISSION: HR POLICY & DIVERSITY PRACTICE	<b>FOUNDATION</b>
<b>2. LGBTQ Inclusivity within Policies and Benefits</b>	<b>Max. 2 points</b>
<p>On our policy intranet pages (or upfront within our policy documentation), we have made it <b><i>explicitly clear</i></b> that all policies are inclusive of LGBTQ employees and their families (where families are included within policies/benefits).</p> <p><i>Please provide a screenshot or insert attachment of where you state the explicit inclusion of LGBTQ employees (and families where relevant) within policies/benefits (please do NOT attach complete policies).</i></p>	
<p>Our policies intranet page explicitly states that "ASIC's policies, procedures and guidelines apply to all team members regardless of age, disability, sex, gender, marital status, pregnancy, family responsibility or family status, sexual orientation, race, religious or political conviction." (see Standing Submission – Attachment Q2.1).</p>	

STANDING SUBMISSION: HR POLICY & DIVERSITY PRACTICE	<b>FOUNDATION</b>
<b>3. New Parent Leave Inclusive of LGBTQ Families</b>	<b>Max. 3 points</b>
<p>On our policy pages (or upfront within our family policy documentation), we <b><i>explicitly communicate</i></b> that our New Parent Leave (or equivalent) includes those who have children via surrogacy, adoption and foster arrangements regardless of employee gender.</p> <p><i>For full points, please identify:</i></p> <ul style="list-style-type: none"> <li><i>(a) If leave covers surrogacy and where the availability of this leave is explicitly communicated for LGBTQ families</i></li> <li><i>(b) If leave covers adoption and where the availability of this leave is explicitly communicated for LGBTQ families</i></li> <li><i>(c) If leave covers foster arrangement and where the availability of this leave is explicitly communicated for LGBTQ families</i></li> </ul>	
<p>Our parental leave provisions are outlined in our Leave Policy (see Standing Submission – Attachment Q3.1) and are accessible by all of our team members, regardless of their sex, gender, marital status, pregnancy, family responsibility or family status, or sexual orientation (see Standing Submission – Attachment Q2.1).</p> <p>In addition to this, our intranet page explicitly states that the parental leave provision is available to team members who have children via surrogacy, adoption and foster arrangements, regardless of their gender (see Standing Submission – Attachment Q3.2).</p>	





of support avenues available. Further information on the unique types of violence faced by LGBTIQ+ communities is provided in the linked Pride in Diversity publication on LGBTIQ+ Domestic and Family Violence (see Standing Submission – Attachment Q6.2 pp.4-83).

**b) stated LGBTQ avenues of support**

Our enterprise agreement, leave policy, and flexibility policy cover the support we can provide to any team members who are experiencing DVF (see Standing Submission – Attachment Q6.3), however, we have also provided specific information and summary of these support avenues for LGBTIQ+ team members on our Rainbow intranet page (see Standing Submission – Attachment Q6.2 pp.1-3), which includes details about confidential contacts, employee assistance, leave and individual support. See also information provided on the Rainbow Network intranet pages on “Employee assistance program” (see Standing Submission – Attachment Q10.2).

**c) a statement that the policy explicitly covers LGBTQ people, partners and their families**

The relevant policy documents that cover domestic and family violence include the Enterprise Agreement, Leave Policy and Flexibility Policy. Our policy intranet page clearly states that all of our policies apply to all team members regardless of age, disability, sex, gender, marital status, pregnancy, family responsibility or family status, sexual orientation, race, religious or political conviction (see Standing Submission – Attachment Q2.1). See also information provided on the Rainbow Network intranet pages on “Employee assistance program” which states the program is available to “accessible by all employees and their immediate family members” (see Standing Submission – Attachment Q10.2).

**STANDING SUBMISSION: HR POLICY & DIVERSITY PRACTICE**

**ADVANCED**  
max. 4 points

**7. Communications on LGBTQ Inclusive and Offensive Language**

We have developed targeted communications or public relations guides that outline how to reference LGBTQ communities in communications, articles, media, and/or advertising that:

- a) provide examples of **both** inclusive language AND language that is exclusive/offensive to LGBTQ people
- b) **are available to all employees within the organisation**

*For full points, please attach:*

- (a) a copy of your guide that includes examples of both inclusive language AND exclusive/offensive to LGBTQ people*
- (b) details of how this guide is made available to employees*

## STANDING SUBMISSION: LGBTQ BULLYING/HARASSMENT & SUPPORT

<b>STANDING SUBMISSION: LGBTQ BULLYING/HARASSMENT &amp; SUPPORT</b> <b>8. LGBTQ Training HR / Grievance Officers</b>	<b>FOUNDATION</b> <b>Max. 3 points</b>
<p><b>We have an internal formal HR/Grievance process whereby LGBTQ people can request or engage with:</b></p> <ul style="list-style-type: none"> <li><b>a) someone specifically trained in LGBTQ Inclusion; OR</b></li> <li><b>b) an ally who has a good understanding of LGBTQ sensitivities and potential areas of concern</b></li> </ul> <p><i>For full points, please confirm:</i></p> <ul style="list-style-type: none"> <li><i>(a) that all identified LGBTQ friendly Grievance Officers or first points of contact have either; undertaken LGBTQ awareness training <u>or</u> are experienced allies with a good understanding of sensitivities</i></li> <li><i>(b) where these LGBTQ aware/friendly grievance contact points can be located or requested for those seeking formal support</i></li> </ul>	
<p>Our team members are entitled to request a support person to accompany them through any internal formal HR/Grievance process as per our Code of Conduct and Grievance Handling Procedures (see Standing Submission – Attachment Q8.1).</p> <p><b>a) that all identified LGBTQ friendly Grievance Officers or first points of contact have either; undertaken LGBTQ awareness training or are experienced allies with a good understanding of sensitivities</b></p> <p>Our LGBTQ+ friendly Grievance Officers/first points of contact are comprised of the leaders of the Rainbow Network and our Manager of Diversity &amp; Inclusion who either identify as part of the LGBTQ+ community and/or have undertaken LGBTQ+ awareness training conducted by Pride in Diversity.</p> <p><b>b) where these LGBTQ aware/friendly grievance contact points can be located or requested for those seeking formal support</b></p> <p>Our LGBTQ+ friendly Grievance Officers/first points of contact are currently listed on our intranet site on ‘Harassment’ (see Standing Submission – Attachment Q8.2 Additionally, our Rainbow Network intranet page on policies and procedures also informs LGBTQ+ team members that they can access Harassment and Grievance Contact Officers that are specifically trained or are experienced allies with a good understanding of LGBTQ+ team members (see Standing Submission – Attachment Q8.3).</p>	
<b>STANDING SUBMISSION: LGBTQ BULLYING/HARASSMENT &amp; SUPPORT</b> <b>9. Behavioural Examples of What Constitutes Bullying / Harassment</b>	<b>INTERMEDIATE</b> <b>Max. 4 points</b>
<p><b>Documentation within our bullying and harassment policy/guidelines provide clear behavioural examples of what constitutes bullying/harassment in terms of sexual orientation, gender identity/expression AND examples of behaviour that constitutes bullying/harassment of intersex people.</b></p> <p><i>For full points, please provide evidence of behavioural examples given within your documentation in terms of:</i></p> <ul style="list-style-type: none"> <li><i>(a) behaviour that constitutes bullying/harassment in regard to one’s sexual orientation</i></li> <li><i>(b) behaviour that constitutes bullying/harassment of trans or gender diverse employees</i></li> <li><i>(c) behaviour that constitutes bullying/harassment of intersex people</i></li> </ul>	
<p>The Rainbow Network intranet page on policies and procedures provides a comprehensive list of behavioural examples of what constitutes bullying and harassment in terms of sexual orientation, gender identity and expression, and of intersex people (see Standing Submission – Attachment Q9.1). This information is to be read in conjunction with our Bullying Policy, Discrimination &amp; Harassment Policy and Sexual Harassment Policy to raise awareness and provide more information for those involved in dealing with these matters.</p>	

STANDING SUBMISSION: LGBTQ BULLYING/HARASSMENT & SUPPORT 10. EAP Provider	INTERMEDIATE Max. 3 points
<p><b>We have either:</b></p> <ul style="list-style-type: none"> <li>a) identified individuals within our EAP provider who have received specific training in, or have considerable understanding of the challenges faced by LGBTQ individuals that we can refer our LGBTQ employees</li> <li>b) received documentation that we believe demonstrates both the knowledge and expertise of our EAP provider to support LGBTQ people</li> </ul> <p><b>and we have:</b></p> <ul style="list-style-type: none"> <li>c) <u>clearly communicated</u> this on our EAP Provider page and/or our LGBTQ intranet page</li> </ul> <p><i>Please provide:</i></p> <ul style="list-style-type: none"> <li>(a) evidence of (a) <u>or</u> (b) above <u>and</u></li> <li>(b) where this has been communicated on an LGBTQ intranet page</li> </ul>	
<ul style="list-style-type: none"> <li>b) <b>received documentation that we believe demonstrates both the knowledge and expertise of our EAP provider to support LGBTQ people</b> We have been provided with documentation from our Benestar Account Manager which demonstrates both the knowledge and expertise to support LGBTIQ+ people (see Standing Submission – Attachment Q10.1).</li> <li>c) <b>clearly communicated this on our EAP Provider page and/or our LGBTQ intranet page</b> We have clearly communicated on our Rainbow Network intranet page that this support is available to our LGBTIQ+ team members (see Standing Submission – Attachment Q10.2)</li> </ul>	

STANDING SUBMISSION: LGBTQ BULLYING/HARASSMENT & SUPPORT 11. Tracking of Incidents	ADVANCED Max. 4 points
<p><b>We can provide evidence that shows:</b></p> <ul style="list-style-type: none"> <li>a) how we extract LGBTQ related instances from collected bullying/harassment data</li> <li>b) the development of a process that is sensitive to LGBTQ disclosure enabling us to mediate and/or action incidents</li> </ul> <p><i>For full points, please screenshot or provide evidence for both a) and b) above.</i></p>	
<ul style="list-style-type: none"> <li>a) <b>how we extract LGBTQ related instances from collected bullying/harassment data</b> All grievances (formal or informal) of bullying and harassment are recorded in a case management register maintained by the Employee Relations team. This register records the type of grievance being reported and any other relevant details of the case. LGBTIQ+ related instances of bullying and harassment are identifiable using the free text data field. The process for extracting LGBTIQ+ related grievances involves: <ul style="list-style-type: none"> <li>• accessing the case management register;</li> <li>• using the filter function on the free text data field and searching for terms like “LGBTIQ+”, “sexuality” and “sexual orientation”</li> </ul> </li> <li>b) <b>the development of a process that is sensitive to LGBTQ disclosure enabling us to mediate and/or action incidents</b> All grievances are treated with confidentiality as per our Code of Conduct and Grievance Handling Procedures, these procedures allow the HR team to appropriately mediate and/or take action to address any form of bullying and harassment (see Standing Submission – Attachment Q11.1). In addition to these procedures, all HR Business Partners (who are usually the first point of contact for grievances) have LGBTIQ+ awareness training or are able to access the expertise of our Diversity &amp; Inclusion Manager or Rainbow Network Leaders.</li> </ul>	



## STANDING SUBMISSION: INCLUSION OF TRANS AND GENDER DIVERSE PEOPLE

STANDING SUBMISSION: INCLUSION OF TRANS AND GENDER DIVERSE PEOPLE		INTERMEDIATE									
<b>12. Gender Affirmation Policy and Process Documentation</b>		<b>Max. 5 points</b>									
<p>We have a documented gender affirmation policy/process and documentation to support both; the employee(s) wishing to affirm their gender in the workplace AND their manager(s), peers and colleagues.</p> <p><b>Note: 'Gender affirmation' (above) is the ideal term for what has commonly been referred to as 'transitioning.'</b></p> <p><i>Please provide:</i></p> <ul style="list-style-type: none"> <li>a) <i>a copy of this specific policy/process</i></li> <li>b) <i>detailed support documentation for employee(s) wishing to affirm their gender in the workplace</i></li> <li>c) <i>detailed support/educational documentation for managers peers and colleagues</i></li> </ul>											
<p>In 2020, we developed a “Gender affirmation at ASIC” support document which outlines our approach to gender affirmation and will also be the basis for the development of our policy. Action 1.2.1 of our Rainbow Action Plan shows our commitment to developing a gender affirmation policy by June 2021 (see screenshot below). We have also been working with other Federal Government agencies, including APRA, RBA, ACCC and AUSTRAC through a working group to progress this action.</p> <p><b>Goal 1.2: Develop and implement policies and support for gender diverse inclusion</b></p> <table border="1"> <thead> <tr> <th>Actions</th> <th>Responsible areas</th> <th>Timeline</th> </tr> </thead> <tbody> <tr> <td>1.2.1 Develop and implement a gender affirmation policy, including any changes to ASIC’s leave policies to provide paid leave for team members to undertake or manage their gender affirmation</td> <td>Rainbow P&amp;D Rainbow Sponsor</td> <td>June 2021</td> </tr> <tr> <td>1.2.2 Develop and promote clear guidance on dress code for gender diverse team members</td> <td>Rainbow P&amp;D</td> <td>June 2021</td> </tr> </tbody> </table> <ul style="list-style-type: none"> <li>a) <b>a copy of this specific policy/process</b></li> </ul> <p>Our “Gender affirmation at ASIC” support document (see Standing Submission – Attachment Q12.1) has been published under the ‘policies and procedures’ page on our Rainbow Network intranet page.</p> <ul style="list-style-type: none"> <li>b) <b>detailed support documentation for employee(s) wishing to affirm their gender in the workplace</b></li> </ul> <p>While our “Gender affirmation at ASIC” support document as a whole is intended to support team members wishing to affirm their gender in the workplace, section C draws out in particular aspects to support team members, including details of who to contact, access to leave, updating details, employee assistance program, reference to discrimination and harassment policies, and details of harassment and grievance contacts. Section C also provides a link to our “Assisting Employee Transition – Checklist” intended to help identify the actions that have to be taken to successfully affirm your gender at ASIC (see Standing Submission – Attachment Q12.2).</p>			Actions	Responsible areas	Timeline	1.2.1 Develop and implement a gender affirmation policy, including any changes to ASIC’s leave policies to provide paid leave for team members to undertake or manage their gender affirmation	Rainbow P&D Rainbow Sponsor	June 2021	1.2.2 Develop and promote clear guidance on dress code for gender diverse team members	Rainbow P&D	June 2021
Actions	Responsible areas	Timeline									
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1.2.2 Develop and promote clear guidance on dress code for gender diverse team members	Rainbow P&D	June 2021									

**c) detailed support/educational documentation for managers peers and colleagues**

Section D of our “Gender affirmation at ASIC” support document sets out information for people leaders including details about confidentiality and privacy, sensitivity and respect, developing a workplace plan, communication to colleagues of the person affirming their gender, education and awareness, addressing negativity, employee assistance, leave entitlements and facilities. Appendix 1 also includes a template for communicating to the broader department.

Section E of our “Gender affirmation at ASIC” support document sets out information for colleagues including on becoming a transgender ally, sensitivity and respect, addressing concerns of colleagues, and employee assistance.

**STANDING SUBMISSION: INCLUSION OF TRANS AND GENDER DIVERSE PEOPLE**

**ADVANCED**  
**Max. 4 points**

**13. Dress Codes and Uniforms**

**We have removed gendered language within organisational wide dress code policies and/or guidelines to empower all employees, including trans, gender diverse and non-binary employees to dress in a manner (or select uniforms) that best reflects who they are.**

**Further contact details and information has also been provided for support, if required.**

*For full points, policies or guidelines must:*

- a) *state that all employees are supported to dress in a manner that best reflects their gender **identity***
- b) *explicitly mentions trans, gender diverse and non-binary employees*
- c) *provide a support contact or further information on interpreting these guidelines, if required*

In 2020, we have included guidance on team members dressing in a manner that best reflects their gender identity in our “Gender affirmation at ASIC” support document (see Standing Submission – Attachment Q13.1). In addition to this, we have committed to developing guidance in a formal policy/guideline separate to the “Gender affirmation at ASIC” support document as part of our Rainbow Action Plan 2020-21 (see screenshot below).

**Goal 1.2: Develop and implement policies and support for gender diverse inclusion**

Actions	Responsible areas	Timeline
1.2.1 Develop and implement a gender affirmation policy, including any changes to ASIC’s leave policies to provide paid leave for team members to undertake or manage their gender affirmation	Rainbow P&D Rainbow Sponsor	June 2021
1.2.2 Develop and promote clear guidance on dress code for gender diverse team members	Rainbow P&D	June 2021

**a) state that all employees are supported to dress in a manner that best reflects their gender identity**

The section “Dress code and clothing” is intended to reflect ASIC’s view which we intend will be provided for explicitly by an appropriate guideline or policy. We consider this section reflects the view that all employees are supported to dress in a manner that best reflects their gender identify. In the interim the “Gender affirmation at ASIC” reflects

our understanding that we have not identified gendered language within organisational wide dress code policies or guidelines that would disempower team members in their choice of clothing.

**b) explicitly mentions trans, gender diverse and non-binary employees**

Please refer to answer for a) above. The “Gender affirmation at ASIC” document similarly refers to transgender, gender diverse and non-binary employees are to be explicitly provide for by our policy/guidelines.

**c) provide a support contact or further information on interpreting these guidelines, if required**

Paragraph 16 of the “Gender affirmation at ASIC” document provides details of who to contact for information in relation to this document.

**STANDING SUBMISSION: INCLUSION OF TRANS AND GENDER DIVERSE PEOPLE**

**ADVANCED  
Max. 4 points**

**14. Gender Affirmation Leave**

**We have an internal policy that ensures *additional* paid leave is available for employees who require time away to undertake or physically manage their gender affirmation.**

**Note: For full points, this leave must be in addition to the need to utilise annual leave, sick or generic personal leave.**

*For full points, please provide:*

- (a) evidence of a paid leave entitlement (over and above annual leave, sick or generic personal leave) for individuals currently affirming their gender*
- (b) a list of any supporting documentation required from the employee for you to enact this leave*
- (c) whether this leave availability is standard HR policy or solely dependent on the discretion of the manager*

**Background**

We have considered the types of leave that may be required by a team member affirming their gender and identified the following general requirements:

- leave may need to be staged over the person’s gender affirmation journey and different leave requirements may be needed at different points in the process;
- leave may be needed by ASIC, rather than the person affirming their gender, in making arrangements for the transition (e.g. to provide training to colleagues of the person affirming their gender, or to update the person’s details on our systems);
- the person affirming their gender may be new to ASIC and may not have sufficient personal leave.

Our “Gender affirmation at ASIC” support document (see Standing Submission – Attachment Q12.1) provides guidance to team members on the different leave options currently available for gender affirmation, including annual leave and personal leave. In addition to these leave entitlements, team members may apply for “Other Leave” which is subject to approval by the Senior Executive Leader People & Development.

**a) evidence of a paid leave entitlement (over and above annual leave, sick or generic personal leave) for individuals currently affirming their gender**

Our Enterprise Agreement provides team members with an additional leave entitlement, known as “Other Leave”, for a range of different circumstances (see screenshot below). Team members may apply for “Other Leave” to undertake or physically manage their gender affirmation.

**58. Other Leave**

58.1 ASIC may grant leave of absence to an employee in appropriate circumstances. Further information can be found in ASIC’s Leave Policy. Leave may be granted:

- (a) for the period requested or for another period up to a maximum of 12 months with the option for extension;
- (b) with or without pay; and
- (c) subject to conditions.

58.2 ASIC will provide advice to an employee of a decision to refuse leave.

Our “Gender affirmation at ASIC” document states:

21 Until the gender affirmation policy is developed and implemented, P&D, the [Rainbow Network](#) or any of the Rainbow Leads will facilitate leave approvals on an individual basis as needed. This leave will be in addition to annual leave and personal leave.

**(b) a list of any supporting documentation required from the employee for you to enact this leave**

For personal leave, our Enterprise Agreement states:

*No medical certificate or other supporting evidence will normally be required for absences of three consecutive working days or less. However, by giving the employee prior notice, a manager may require a medical certificate or other suitable supporting evidence for periods of three days or less in particular circumstances. Medical certificates or other supporting evidence are required for absences of more than three consecutive working days.*

For any additional gender affirmation leave, we have not identified specific requirements for supporting materials. These matters are decided as part of the consideration of the circumstances of the individual case.

**(c) whether this leave availability is standard HR policy or solely dependent on the discretion of the manager**

Our annual and personal leave applications are currently approved by a team member’s people leader. If a team member affirming their gender applies for “Other Leave” this leave type is subject to the approval of the Senior Executive Leader People & Development and does not require the involvement of the team member’s people leader (see screenshot below of ASIC’s leave policy, that states that a team member can see advice from People & Development in relation to other leave).

**Granting of other leave**

164. People and Development can provide advice on the granting of other leave. If leave is granted outside the guidelines, or for a significant period, People & Development can confirm the approval in writing including the period of leave granted, whether it is with or without pay, whether it will count as service, and any conditions which the leave is subject to.



The provision of “Other Leave” is intended to provide a process where:

- the leave is not contingent on the discretion of the team member’s direct people leader – this is intended to address a range of risk factors including the event that the relevant people leader does not support the person in their gender affirmation; and
- to avoid the need for the person to disclose personal details related to their gender affirmation to their people leader, or multiple people leaders if the person works in different teams at different times of their gender affirmation journey.

As stated about “Gender affirmation at ASIC” states :*“Until the gender affirmation policy is developed and implemented, P&D, the Rainbow Network or any of the Rainbow Leads will facilitate leave approvals on an individual basis as needed”.*

**STANDING SUBMISSION: INCLUSION OF TRANS AND GENDER DIVERSE PEOPLE**

**ADVANCED**  
Max. 4 points

**15. Gender Neutral Bathrooms and Facilities**

We have (or are working towards) having ‘Gender Neutral’ or ‘All Gender’ bathrooms and/or facilities with clear and visible signage available to employees.

**Note: “Unisex” signage will not be given points for this question. We are seeking more inclusive language for inclusive signage.**

**If you already have gender neutral or all gender signage, please provide:**

- (a) *evidence of a communication regarding where ‘Gender Neutral’ or ‘All Gender’ bathroom/facilities can be located*
- (b) *evidence of clear and visible signage as it appears at the bathroom/facility location*

**If you are still making progress towards this, please:**

- (c) *outline progress made and when you expect to have signage in place.*

**If this is not possible for any reason, please provide:**

- (a) *evidence of any research or work that you have done in this area*
- (b) *any means by which you have been able to accommodate trans, gender diverse and non-binary employees*

We are unable to provide gender neutral or all gender bathrooms/facilities in its premises due to restrictions with our tenancy agreements. However, we do support team members to use the bathroom they feel most comfortable and where our offices allow, the use of accessible toilets (see Standing Submission – Attachment Q15.1).

**STANDING SUBMISSION: INCLUSION OF TRANS AND GENDER DIVERSE PEOPLE**

**ADVANCED**  
Max. 2 points

**16. (Forms) Non-Binary Gender Options for Employees**

We have audited and amended (or are in the process of auditing/amending) all internal documents and forms that collect gender information to include non-binary options and options for those who identify as trans or gender diverse (moving away from binary male/female, Mr. Ms., Mrs etc.).

*For full points, please provide:*

- (a) *a brief outline of progress of work to date*
- (b) *options provided within changed documents if changes have been made*

**OR (c) *evidence that you do not collect or have removed gender options or gendered information on your forms***

In 2019, the Rainbow Network audited and amended internal documents and forms that collect gender information to include non-binary, trans and gender diverse options. Through this process we identified very few documents and forms that collect gender information. Those that were found were amended if required, with the exception of

certain security clearance forms that are controlled by the Australian Government Security Vetting Agency. Since this audit, no other forms have been identified and no changes to original forms have been made.

It is now standard practice to include the following gender options in all documents and forms (where appropriate):

- Male
- Female
- Non-binary/gender diverse
- Other identity (specified by individual)

**STANDING SUBMISSION: INCLUSION OF TRANS AND GENDER DIVERSE PEOPLE**

**ADVANCED**  
Max. 2 points

**17. (IT Systems) Non-Binary Gender Options for Employees**

**We have audited and amended (or are in the process of amending) all relevant IT systems that collect gender information to include non-binary options and options for those who identify as trans or gender diverse (moving away from binary male/female, Mr. Ms., Mrs etc.).**

*For full points, please provide:*

- (a) *a brief outline of progress of work to date*
- (b) *options provided within systems if changes have been made*

**OR (c) *evidence that you do not collect or have removed gender options or gendered information within your systems***

Our review into the IT systems that collect gender information identified the following systems:

- Applicant Tracking System (ATS)
- Human Resource Information System (HRIS)
- HR surveys

All IT systems, with the exception of the HRIS\*, now provide the following standard options for recording an individual's gender:

- Male
- Female
- Non-binary/gender diverse
- Other identity (specified by individual)

\*Our HRIS collects the gender information of our employees for the purposes of workforce management, including payroll, superannuation and insurance. The options available in this system are restricted due to externally mandated reporting requirements (i.e. for the purposes of superannuation and insurance). We are currently working to include a separate gender field in the HRIS that allows team members to specify their gender using the aforementioned options – noting that the HRIS will collect 'sex' as the required information for external reporting purposes and 'gender' as how a team member identifies.

**STANDING SUBMISSION: INCLUSION OF TRANS AND GENDER DIVERSE PEOPLE**

**ADVANCED**  
Max. 6 points

**18. Trans and Gender Diverse Applicants**

**For trans and gender diverse applicants, we have:**

- a) Implemented processes to help reduce roadblocks/difficulties faced by trans and gender diverse people who are applying for jobs
- b) **clearly communicated** a point of contact available for trans and gender diverse applicants throughout the recruitment process on relevant web pages or within application documentation
- c) provided documentation addressing concerns specific to trans and gender diverse applicants and made these available throughout the recruitment process

*For full points, evidence must be provided for all items above. Partial points will be given if all items are not evidenced.*

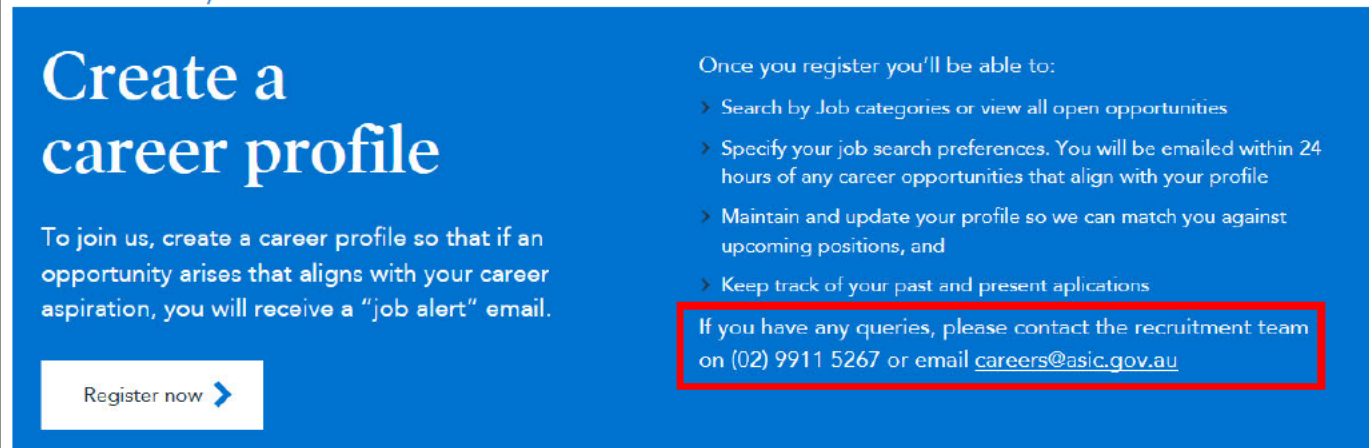
**a) Implemented processes to help reduce roadblocks/difficulties faced by trans and gender diverse people who are applying for jobs**

In 2020, we provided LGBTIQ+ awareness training to our team members to generate awareness and understanding of the differences in lived experiences of the LGBTIQ+ community and, in the case of hiring managers, to combat bias during recruitment decisions (see Standing Submission – Attachment Q18.1).

Hiring managers are also encouraged to wear their Rainbow lanyards to interviews and external meetings to signify that ASIC is an inclusive workplace that support LGBTIQ+ people (see Standing Submission – Attachment Q18.2).

**b) clearly communicated a point of contact available for trans and gender diverse applicants throughout the recruitment process on relevant web pages or within application documentation**

Our careers website and job descriptions provide applicants with contact details for our recruitment team. Any person that requires accommodations during the recruitment process is able to call or email our recruitment team to confidentially speak about the recruitment process and what additional assistance/accommodations they may need (see screenshot below).



**c) provided documentation addressing concerns specific to trans and gender diverse applicants and made these available throughout the recruitment process**

N/A

## STANDING SUBMISSION: STRATEGIC FOCUS

<b>STANDING SUBMISSION: STRATEGIC FOCUS</b> <b>19. External Website LGBTQ Workplace Inclusion Promotion</b>	<b>FOUNDATION</b> <b>Max. 2 points</b>
<p>We have promoted our focus and work on LGBTQ workplace inclusion on our <i>external</i> facing webpage (URL).  <i>Please provide the URL of an external webpage that specifically promotes your inclusion work. (Points will not be given if we are unable to access this externally.)</i></p>	
<b>STANDING SUBMISSION: STRATEGIC FOCUS</b> <b>20. HR / Diversity Professional Accountabilities</b>	
<b>INTERMEDIATE</b> <b>2 points</b>	
<p>We have at least one Diversity / HR professional whose job description, performance appraisal or work plan includes <i>specific and detailed</i> LGBTQ inclusion objectives/targets.  <b>Note: This is beyond a general reference to LGBTQ inclusion as an area of diversity.</b>  <i>Please provide evidence of such specific targets.</i></p>	
<b>STANDING SUBMISSION: STRATEGIC FOCUS</b> <b>21. Executive Sponsor or LGBTQ Champion</b>	
<b>ADVANCED</b> <b>Max. 4 points</b>	
<p>We have an Executive Sponsor located <i>within our Australian offices</i> with documented role expectations/accountabilities related to LGBTQ inclusion work and advocacy <b>within the organisation.</b>  <i>For full points, please provide evidence of both:</i></p> <ul style="list-style-type: none"> <li><i>(a) the documented role expectation/accountabilities</i></li> <li><i>(b) the mechanism through which the Executive Sponsor reports or is made accountable for these</i></li> </ul>	
<p>Our current, and for the assessed calendar year, Rainbow Sponsor is Commissioner Sean Hughes. The Rainbow Sponsor role has a number of expectations which are formalised in the Rainbow Network Terms of Reference (see Standing Submission – Attachment Q21.1). In addition to these expectations, the Rainbow Sponsor is accountable for actions in the Rainbow Action Plan 2020-21 (see Standing Submission – Attachment Q21.2).</p>	



<b>STANDING SUBMISSION: STRATEGIC FOCUS</b> <b>22. Senior Management Diversity Accountability</b>	<b>ADVANCED</b> <b>Max. 4 points</b>
<p><b>We include specific diversity and inclusion accountabilities, job goals or expected outcomes within senior management appraisals beyond generic company values addressing diversity/inclusion (this may or may not include LGBTQ specific accountabilities).</b></p> <p><b>Note: This is outside of network leadership and executive sponsor accountabilities - applies to all executive/senior leaders.</b></p> <p><i>For full points, please:</i></p> <ul style="list-style-type: none"> <li><i>(a) confirm that there are diversity accountabilities (over and above general behavioural values) within senior management appraisals.</i></li> <li><i>(b) provide evidence (template example acceptable) or if highly confidential, please indicate the name of a senior HR person who can verify this:</i></li> </ul>	

<b>STANDING SUBMISSION: STRATEGIC FOCUS</b> <b>23. Customer-facing LGBTQ Inclusion</b>	<b>ADVANCED</b> <b>Max. 3 points</b>
<p><b>We have evaluated (or are in the process of evaluating) the LGBTQ inclusivity of customer facing / service user processes.</b></p> <p><i>For full points, please:</i></p> <ul style="list-style-type: none"> <li><i>a) clearly outline the extent of this work and progress made to date</i></li> </ul>	
<p>We are Australia's integrated corporate, markets, financial services and consumer credit regulator. Part of our function involves dealing with the public, sole traders and business owners. All of our external facing communications follow our style guide which instructs content creators from referring to an individual's gender and to use gender neutral terms instead (see Standing Submission – Attachment Q23.1).</p>	

<b>STANDING SUBMISSION: STRATEGIC FOCUS</b> <b>24. Customers Information: Changing Gender Markers</b>	<b>ADVANCED</b> <b>3 points</b>
<p><b>We provide customers / service users with easily accessible information on how they can change their title (Mr, Ms, Mx), name and gender within our systems.</b></p> <p><i>For full points, please provide either:</i></p> <ul style="list-style-type: none"> <li><i>a) a copy of the customer/service user documentation that outlines this or a screenshot of that information.</i></li> <li><i>b) evidence that you do not collect or have removed gender options or gendered information in your systems</i></li> </ul>	
<p>Our registry services portal, ASIC Connect, is our only customer facing service and does not collect gender markers or titles (see Standing Submission – Attachment Q24.1). Customers may change their details relating to their account in their profile settings once signed into ASIC Connect.</p>	

**\*\* END OF SECTION 1: STANDING SUBMISSION \*\***

# ANNUAL SUBMISSION

## SECTION 2: STRATEGY & ACCOUNTABILITY

<b>ANNUAL SUBMISSION: STRATEGY &amp; ACCOUNTABILITY</b> <b>1. External LGBTQ Expertise</b>	<b>FOUNDATION</b> <b>Max. 2 points</b>
<p><b>We have access to external LGBTQ support/expertise that we have called upon throughout the assessed year (this may include but is not limited to PID).</b>  <i>Please provide evidence of <u>one</u> such engagement throughout the assessed year, identifying who that was with.</i></p>	
<p>As members of Pride in Diversity (PiD) we have had the benefit of the advice of our relationship manager, s 47F, throughout 2020. s attends monthly Rainbow Regulators (an interagency working group comprised of members from ASIC, APRA, ACCC, RBA and AUSTRAC) meetings to contribute ideas, provide advice on policy and guide collaboration. In 2020, to celebrate Wear it Purple Day, ASIC and the other Rainbow Regulators organised an event on “how to be an empowered LGBTIQ+ ally”. This event involved s 47F (PiD) delivering a session on how to be a good ally followed by a panel event involving the executive sponsors of each agency’s respective LGBTIQ+ networks (see Annual Submission – Attachment Q1.1).</p>	

<b>ANNUAL SUBMISSION: STRATEGY &amp; ACCOUNTABILITY</b> <b>2. Documented LGBTQ Strategy</b>	<b>FOUNDATION</b> <b>Max. 3 points</b>
<p><b>We have a documented LGBTQ inclusion strategy (or pillar within an overarching diversity strategy) in place for the assessed year that includes <u>clearly defined</u> LGBTQ targets and/or action plans.</b>  <i>Please provide a copy of the LGBTQ component of your strategy and clearly defined targets. <b>If your strategy does not contain clearly defined LGBTQ targets, please provide any accompanying/supporting action plans that will show specific goals in this area</b></i></p>	
<p>Our Diversity and Inclusion Strategy 2020-22 outlines ASIC’s approach to promoting diversity and inclusion and is comprised of four key priority areas – attraction, storytelling, inclusion and capability (see Annual Submission – Attachment Q2.1). The Strategy supports LGBTIQ+ inclusion by formalising ASIC’s LGBTIQ+ network as a member of the Diversity Council and including actions to:</p> <ul style="list-style-type: none"> <li>• allow each committee to manage a day of significance (sponsored by P&amp;D),</li> <li>• refresh content and resources on ASIC’s intranet, and</li> <li>• employ workplace nudges to drive inclusive behaviours.</li> </ul> <p>While the Strategy does not include specific LGBTIQ+ targets, the Rainbow Action Plan 2020-21 details the specific actions that the Network will undertake to drive LGBTIQ+ inclusion (see Annual Submission – Attachment Q2.2).</p>	

ANNUAL SUBMISSION: STRATEGY & ACCOUNTABILITY	INTERMEDIATE
3. LGBTQ Advisory Group	Max. 4 points
<p><b>We have <u>established and promoted</u> an internal LGBTQ advisory group which has:</b></p> <ul style="list-style-type: none"> <li>a) met specifically to identify areas requiring change or to work on projects requiring their expertise and guidance</li> <li>b) engaged with <u>the organisation</u> in efforts to implement change or complete allocated projects</li> </ul> <p><b>Note: This group may be the leadership or a subset of your Employee Network, or a group within your organisation with distinct expertise in LGBTQ inclusion.</b></p> <p><i>For full points, please provide:</i></p> <ul style="list-style-type: none"> <li>(a) evidence of how this group's expertise or counsel is promoted across the organisation</li> <li>(b) evidence of any meetings or work undertaken by this group throughout the assessed year</li> </ul>	
<p>The Leads of ASIC's Rainbow Network, which includes ASIC's Diversity and Inclusion Manager, have met regularly in 2020 to develop ASIC's Rainbow Action Plan (see Annual Submission – Attachment Q2.2), and to develop initiatives to progress inclusion of LGBTIQ+ people at ASIC. Areas of work have included:</p> <ul style="list-style-type: none"> <li>• research and consideration of best practice in gender affirmation to support development of a gender affirmation policy,</li> <li>• review of ASIC's internal policies and procedures, developing guidance on ASIC's bullying and harassment procedures, and</li> <li>• initiatives to support greater visibility of LGBTIQ+ team members (including visibility in electronic signatures).</li> </ul> <p>The Rainbow Leads met frequently throughout 2020, in particular to develop the Rainbow Action Plan and to work on projects requiring LGBTIQ+ expertise and guidance. This is evidenced in the Rainbow Terms of Reference which outlines the frequency of meetings of different advisory and working groups that progress LGBTIQ+ inclusion (see Annual Submission – Attachment Q3.1).</p> <p>The Rainbow Chair is also a member of ASIC's Diversity Council and provides comment and advice at Council meetings (see Annual Submission – Attachment Q3.2).</p> <p>In 2020 Rainbow also launched a centralised email address for team members to contact the Rainbow Leads and obtain advice and guidance on LGBTIQ+ issues. This email address is promoted within all communications about Rainbow initiatives and also on the Rainbow Network intranet page (see Annual Submission – Attachment Q3.3).</p>	

ANNUAL SUBMISSION: STRATEGY & ACCOUNTABILITY	INTERMEDIATE
4. LGBTQ Inclusion Reporting	2 points
<p><b>Within the assessed calendar year, we have published a report on our LGBTQ inclusion work. This may be within annual reports, CSR documentation or equivalent public facing documentation.</b></p> <p><b>Note: This report may include work prior to the assessed year, however the report must be published within 2020.</b></p> <p><i>Please provide evidence.</i></p>	
<p>Our Annual Report 2019-20 was published on our external website in 2020 and includes a section on diversity and inclusion, the Rainbow Network and LGBTIQ+ inclusion initiatives are also specifically referenced (see Annual Submission – Attachment Q4.1).</p>	

ANNUAL SUBMISSION: STRATEGY & ACCOUNTABILITY	INTERMEDIATE 2 points
<b>5. Media Coverage</b>	
<p><b>Our work in LGBTQ inclusion has been covered by an independent source (not internally written or published) within the assessed calendar year.</b></p> <p><b>Note: This has to cover your LGBTQ inclusion work in detail and cannot be a brief mention of your organisation, recognised employee/individual or an award won.</b></p> <p><i>Please provide evidence of how your LGBTQ inclusion work has been recognised by an independent source: screenshot, URL, image or insert attachment.</i></p>	
<p>Not in the 2020 calendar year.</p>	

ANNUAL SUBMISSION: STRATEGY & ACCOUNTABILITY	ADVANCED Max. 3 points
<b>6. Strategic Work in Recruitment, Supplier Policy or Service Provision</b>	
<p><b>We have completed, updated or are making progress towards work within <u>one</u> of the following areas over the assessed calendar year:</b></p> <ul style="list-style-type: none"> <li>LGBTQ targeted recruitment (targeting LGBTQ job seekers)</li> <li>LGBTQ supplier policy / promotion / resourcing / procurement policy (either seeking LGBTQ suppliers; or having a policy requiring suppliers to reflect your values around LGBTQ inclusion or attend training)</li> <li>LGBTQ marketing campaigns or service provision brochures/collateral specifically targeting LGBTQ populations or answering questions specific to this population</li> </ul> <p><i>Please provide evidence for work within <u>one</u> of the requested areas within the assessed year.</i></p> <p><i>If you have completed work within more than one of the above areas within the assessed year or have already existing (and current work) within areas listed above, please add that to the ADDITIONAL WORK section at the end of this submission.</i></p>	
<p>In 2020, we relaunched our Graduate Program and included new information in the recruitment advertising channels with the aim of promoting diversity and inclusion as being at the core of our organisation. This included creating D&amp;I specific pages on our Graduate Careers website (see Annual Submission – Attachment Q6.1), including one specifically for our Rainbow Network. The inclusion of these pages in our Graduate Program recruitment strategy not only strengthens our brand and reputation as an inclusive employer but also reassures LGBTIQ+ people that they are safe to be themselves at ASIC.</p>	

ANNUAL SUBMISSION: STRATEGY & ACCOUNTABILITY	ADVANCED 2 points
<b>7. Executive Leadership Representation</b>	
<p><b>We currently have <span style="color: red;">openly LGBTQ identifying people</span> within our internal Diversity Council and/or within our Executive Leadership Team.</b></p> <p><i>Please provide details of the <span style="color: red;">names and roles</span> of openly LGBTQ identifying people within either your Diversity Council or Executive Team</i></p>	
<p>The following LGBTIQ+ people are on ASIC’s internal Diversity Council:</p> <ul style="list-style-type: none"> <li>Leigh Coughlan – Chair of Rainbow Network and on ASIC’s Diversity Council.</li> <li>Jesse Brown – Deputy Chair of Rainbow Network and on ASIC’s Diversity Council.</li> </ul>	
s 47F	



**ANNUAL SUBMISSION: STRATEGY & ACCOUNTABILITY**
**8. LGBTQ Inclusion Promotion**
**ADVANCED**  
**Max. 4 points**

We can show evidence of promoting our commitment to LGBTQ inclusion in up to two of the following areas:

- pitching for business or contracts
- engaging with potential clients/customers
- applying for funding
- engaging with strategic partners or key external stakeholders

*Please provide evidence for up to two of the areas covered. Note: Partial points will be given for less than two areas of work evidenced.*

*If you have completed work within more than two of the above areas within the assessed year or have already existing (and current work) within areas listed above, please add that to the ADDITIONAL WORK section at the end of this submission.*

**Engaging with potential clients/customers**

A large number of ASIC's 'customers' access content on ASIC's Moneysmart website, and in 2020 10 million Australians visited the website (see Annual Submission – Attachment Q8.1). Our commitment to LGBTIQ+ inclusion was demonstrated in a number Moneysmart website case studies and images which featured diverse families (see Annual Submission – Attachment Q8.1)

**Engaging with strategic partners or key external stakeholders**

To further our commitment to LGBTIQ+ inclusion, our Rainbow Network regularly engages with strategic partners and external stakeholders. One key external stakeholder group is the Rainbow Regulators, an interagency LGBTIQ+ working group comprised of ASIC, ACCC, APRA, RBA and AUSTRAC. In 2020, we held an interagency event on Wear it Purple Day which featured a session on "how to be an empowered LGBTIQ+ ally" and a Q&A panel featuring the executive sponsors of each agency (see Annual Submission – Attachment Q1.1).

## SECTION 3: LGBTQ EMPLOYEE NETWORKS / RESOURCE GROUPS

ANNUAL SUBMISSION: LGBTQ EMPLOYEE NETWORKS / RESOURCE GROUPS 9. LGBTQ Employee Network	FOUNDATION Max. 2 points
<p><b>Within the assessed calendar year, we have <i>either</i>:</b></p> <ul style="list-style-type: none"> <li><b>a) made progress towards the launch or establishment of an LGBTQ employee network</b></li> <li><b>b) an established LGBTQ employee network with a clearly documented charter/purpose or remit</b></li> </ul> <p><i>If you are in the process of creating a network, please evidence progress made within the assessed year. If you have an existing network, please provide a copy of the network's charter/purpose.</i></p> <p><b>b) Within the assessed calendar year we have established an LGBTQ employee network with a clearly documented charter/purpose or remit</b></p> <p>Our LGBTIQ+ employee network, known as the Rainbow Network, was established in 2015 as an informal network to improve visibility and support for LGBTIQ+ team members. The purpose, structure and priorities of the Rainbow Network have significantly developed in the past year with the publishing of two key documents:</p> <ul style="list-style-type: none"> <li>• Rainbow Network Terms of Reference (see Annual Submission – Attachment Q9.1) – which clearly outlines the purpose, structure and objectives of the network; and</li> <li>• Rainbow Action Plan 2020-21 (see Annual Submission – Attachment Q9.2) – which details our key priorities, goals and actions to improve LGBTIQ+ inclusion.</li> </ul>	
ANNUAL SUBMISSION: LGBTQ EMPLOYEE NETWORKS / RESOURCE GROUPS 10. Network Leadership Structure	FOUNDATION Max. 3 points
<p><b>Our employee network has a clearly articulated leadership structure with:</b></p> <ul style="list-style-type: none"> <li><b>a) clear roles and/or responsibilities for those involved</b></li> <li><b>b) an HR or Diversity representative as part of the leadership structure</b></li> </ul> <p><i>For full points, please provide:</i></p> <ul style="list-style-type: none"> <li><i>(a) a copy of your network leadership structure clearly articulating role accountabilities</i></li> <li><i>(b) evidence that you have HR or diversity representation within the leadership</i></li> </ul> <p>Our Rainbow Network leadership structure, including the descriptions of roles and their responsibilities, is outlined in the Rainbow Network Terms of Reference (see <i>Annual Submission – Attachment Q9.1</i>, pages 2, 3 &amp; 6) and includes the:</p> <ul style="list-style-type: none"> <li>• Rainbow Chair</li> <li>• Rainbow Deputy Chair(s)</li> <li>• Rainbow Sponsor, and</li> <li>• Diversity &amp; Inclusion Manager (HR/Diversity representative)</li> </ul>	

<b>ANNUAL SUBMISSION: LGBTQ EMPLOYEE NETWORKS / RESOURCE GROUPS</b> <b>11. Network Strategy / Work Plan</b>	<b>FOUNDATION</b> <b>Max. 3 points</b>
<p><b>Our network has in place its <u>own strategy</u> (or a work plan contributing to the organisation’s LGBTQ inclusion strategy) and has reported progress against clearly defined action plans, timelines and/or deliverables within the assessed year.</b></p> <p><i>For full points, please provide all of the following:</i></p> <ul style="list-style-type: none"> <li><i>(a) a copy of your <b>network</b> strategy or component of the strategy that the network has been working on within the assessed year</i></li> <li><i>(b) a copy of action plans and timelines utilised</i></li> <li><i>(c) a copy of the latest progress report</i></li> </ul>	
<p>In 2020 ASIC’s Rainbow Network published its Action Plan 2020-21 (see Annual Submission Attachment Q2.2). This Action Plan includes the work plan of ASIC’s Rainbow Network, including the goals and deliverables. The most recent progress report on the Action Plan was discussed with the Rainbow Network’s executive sponsor, Commissioner Hughes (see Annual Submission – Attachment Q11.1).</p>	

<b>ANNUAL SUBMISSION: LGBTQ EMPLOYEE NETWORKS / RESOURCE GROUPS</b> <b>12. Orientation / On-boarding</b>	<b>INTERMEDIATE</b> <b>Max. 2 points</b>
<p><b>Our network is actively involved in orientation, on-boarding or the welcoming of new hires within the organisation. If orientation is strictly online, our network has sought means to introduce new hires to the network and welcome them to the organisation.</b></p> <p><i>For full points, please provide:</i></p> <ul style="list-style-type: none"> <li><i>(a) evidence of when this last occurred</i></li> <li><i>(b) the degree of network involvement/participation</i></li> </ul>	
<p>Towards the end of 2019, our induction program underwent a major review which saw the existing e-learning module be replaced with a blended approach of face-to-face sessions and online training. Following the emergence of COVID-19, we developed a remote induction program which moved face-to-face sessions to be conducted by virtual meeting technologies.</p> <p>In the current program, there are three modules that blend online training and ‘face-to-screen’ live training events. Our People &amp; Development team meet with new starters for a panel event to discuss a range of topics, including diversity and inclusion, during the third module. During this session, new team members are given an overview of our D&amp;I strategy and the various committees and networks that exist to drive inclusion initiatives (see Annual Submission – Attachment Q12.1).</p>	

<b>ANNUAL SUBMISSION: LGBTQ EMPLOYEE NETWORKS / RESOURCE GROUPS</b> <b>13. Strategy and Goals</b>	<b>INTERMEDIATE</b> <b>2 points</b>
<p><b>Our network leads have objectives that are assessed annually within performance discussions, relating specifically to performance within that role (as opposed to generic cultural, diversity or value statements).</b></p> <p><i>Please provide evidence of specific KPI's in relation to a network lead role being incorporated within formal performance/assessment discussions.</i></p>	
<p>ASIC's Rainbow Leads incorporate LGBTIQ+ inclusion objectives in their annual performance agreements (see Annual Submission – Attachment Q13.1 for two examples these objectives in the 2020-21 performance agreements for two of the Rainbow Leads).</p>	

<b>ANNUAL SUBMISSION: LGBTQ EMPLOYEE NETWORKS / RESOURCE GROUPS</b> <b>14. Sustainability Plan</b>	<b>INTERMEDIATE</b> <b>Max. 2 points</b>
<p><b>Our network has a documented sustainability plan (over and above a leadership structure and/or a succession plan) that will help ensure the longevity and continuity of the network.</b></p> <p><i>Please provide:</i></p> <p style="margin-left: 20px;">(a) <i>an outline of what considerations were considered in the development of the plan</i></p> <p style="margin-left: 20px;">(b) <i>a copy of the plan</i></p>	
<p><b>(a) an outline of what considerations were considered in the development of the plan</b></p> <p>The development of a Sustainability Pan (Network Continuity Plan) became a formal action in our Rainbow Action Plan 2020-21 (see Priority 1, Goal 1.3, Action 1.3.1). This action required the development of a Terms of Reference that would also house the Continuity Plan (see Annual Submission – Attachment Q14.1), for which the following considerations were made:</p> <ul style="list-style-type: none"> <li>• Developing a clear leadership structure which included unambiguous accountabilities and responsibilities – these were included for the Rainbow Sponsor, Rainbow Chair and Deputy Chair (s), and the Diversity &amp; Inclusion Manager (see “Composition and roles and responsibilities” of the Terms of Reference);</li> <li>• Establishing an appropriate review period (see Terms of Reference paragraphs 11.1 and other review triggers such as the note in paragraph 13);</li> <li>• Identifying appropriate backup and succession arrangements for the responsibilities of the Rainbow Leadership Team - while the Rainbow Chair is responsible for the general oversight of the Rainbow Network, the Rainbow Leads also take responsibility for day to day operational aspects of Rainbow Network activities (see Terms of Reference paragraph 10); and</li> <li>• Ensuring there was a definitive process for ensuring continued leadership of the Network – this is evidenced in the responsibilities of the Diversity &amp; Inclusion Manger and their responsibilities to fill any vacancies in the leadership team and allocating funding; a change to Diversity &amp; Inclusion Manager responsibilities will also trigger a review of the Terms of Reference (see Terms of Reference paragraph 13.1).</li> </ul>	
<p><b>(b) a copy of the plan</b></p> <p>See Terms of Reference that would also house the Continuity Plan (see Annual Submission – Attachment Q14.1),</p>	



ANNUAL SUBMISSION: LGBTQ EMPLOYEE NETWORKS / RESOURCE GROUPS 15. Allies of Trans and Gender Diverse People	ADVANCED Max. 3 points
<p>The network has undertaken <u>one</u> of the following within the assessed year:</p> <ul style="list-style-type: none"> <li>a) actively distributed, promoted or developed information on how to be an ally to trans and gender diverse employees</li> <li>b) worked with trans and gender diverse employees or community members to develop targeted inclusion initiatives profiling trans and gender diverse speakers or role models</li> </ul> <p><b>Note: This is over and above speaking events or LGBTQ calendar Days of Significance.</b> Points will be given for <u>one</u> of the above.</p> <p>(a) If you have selected (a), please provide a copy of the information provided (b) If you have selected (b), please provide details and evidence of this work</p> <p>If you have undertaken work for both, please include the second piece of work under ADDITIONAL WORK at the end of this submission. Please do not duplicate any evidence already submitted for events around LGBTQ Days of Significance. Points will not be allocated twice for the same event.</p>	
<p>a) actively distributed, promoted or developed information on how to be an ally to trans and gender diverse employees</p> <p>We have developed and published information on how to be an ally to trans and gender diverse team members and included this in our “Gender affirmation at ASIC” support document (see Annual Submission – Attachment Q15.1, paras 55-58). This information is freely available to all of our team members and has been published on the Rainbow Network intranet page.</p>	

ANNUAL SUBMISSION: LGBTQ EMPLOYEE NETWORKS / RESOURCE GROUPS 16. Visibility of LGBTQ Women	ADVANCED Max. 3 points
<p>Throughout the assessed year, our network has <u>either</u>:</p> <ul style="list-style-type: none"> <li>a) developed and made progress against an active strategy with targets in place to increase the visibility of LGBTQ women; or</li> <li>b) undertaken and documented significant activity throughout the year to increase visibility of LGBTQ women and <b>out</b> role models</li> </ul> <p>Points will be given for <u>one</u> of the above.</p> <p>(a) If you have selected (a), please enclose a copy of any plan developed along with a report of progress made (b) If you have selected (b), please provide an outline of all activity taken to specifically increase the visibility and participation of LGBTQ women</p> <p>If you have undertaken work for both, please include the second piece of work under ADDITIONAL WORK at the end of this submission.</p>	
<p>a) undertaken and documented significant activity throughout the year to increase visibility of LGBTQ women and out role models</p> <p>In 2020, we published our first Rainbow Action Plan both internally and externally, which included a short biography of the Rainbow Leads. Two of these leaders are LGBTIQ+ women (Leigh Coughlan and Pauline Harbaugh). In addition to publicly promoting LGBTIQ+ women in leadership positions, the Action Plan also includes a specific action to publish quarterly articles and hold events on a number of different focus areas, including LGBTIQ+ women in ASIC (see Annual Submission – Attachment Q16.1). The progress made against this action can be seen in one of our Rainbow Newsletters where we featured a more in-depth profile of our Rainbow Deputy Chair, Pauline Harbaugh (see Annual Submission – Attachment Q16.2)</p>	

ANNUAL SUBMISSION: LGBTQ EMPLOYEE NETWORKS / RESOURCE GROUPS 17. LGBTQ Intersectionality	ADVANCED 3 points
<p>Throughout the assessed calendar year, the network has provided opportunities for LGBTQ people of diverse groups to raise their visibility and/or to share their stories across the organisation:</p> <p>Please provide evidence for one of the following:</p> <ul style="list-style-type: none"> <li>• LGBTQ and Aboriginal, Torres Strait Islander or Indigenous</li> <li>• LGBTQ and a person of faith</li> <li>• LGBTQ and of another diverse group (i.e. CALD, of mature age, living with disability, etc.)</li> </ul> <p>Please provide evidence for <u>one</u> of the selected groups above.</p> <p>If you have undertaken above-and-beyond work for more than one of the groups mentioned above, please include evidence of work in the ADDITIONAL WORK section at the end of this submission.</p>	
<p>N/A.</p>	

ANNUAL SUBMISSION: LGBTQ EMPLOYEE NETWORKS / RESOURCE GROUPS 18. Intersex Allies	ADVANCED Max. 4 points
<p>As Intersex Allies:</p> <p>a) The network has completed one of the following within the assessed calendar year:</p> <ul style="list-style-type: none"> <li>• communicated what the organisation has been or is currently doing to be more inclusive of Intersex people while acknowledging that Intersex status is about variations of sex characteristics, not gender identity or sexual orientation</li> <li>• held organisation-wide educational events where Intersex people have spoken</li> <li>• distributed current and accurate information on Intersex inclusion or awareness raising across the organisation</li> <li>• shared articles, books, movies, documentaries, presentations about Intersex from intersex perspectives</li> <li>• sought and gained permission from intersex organisations such as IHRA to share relevant content on social media or LGBTQ network / diversity page</li> <li>• developed a network initiative or working group with Intersex representation to help determine how the organisation or network can be more inclusive of Intersex people (over and above including Intersex awareness within LGBTQ inclusivity training).</li> </ul> <p>b) Our organisation has signed up to The Darlington Statement</p> <p>Please provide:</p> <p>a) evidence for one of the selected actions above</p> <p>b) evidence of your organisation signing up to The Darlington Statement</p> <p>If you have undertaken above-and-beyond work for more than one action in part a) mentioned above, please include evidence of work in the ADDITIONAL WORK section at the end of this submission.</p>	
<ul style="list-style-type: none"> <li>• distributed current and accurate information on Intersex inclusion or awareness raising across the organisation</li> </ul> <p>In 2020, we organised 3 ally training sessions to be conducted for team members. This training included educational material relating to the why LGBTQI+ inclusion is important, the experience of LGBTQI+ people in the workplace and the characteristics of identity, of which the experiences and importance of intersex awareness were also incorporated (see Annual Submission – Attachment Q18.1).</p>	

**ANNUAL SUBMISSION: LGBTQ EMPLOYEE NETWORKS / RESOURCE GROUPS**
**19. Broader Inclusion**
**ADVANCED**  
**Max. 3 points**

Within the assessed calendar year, the network has ***planned, targeted and tracked both activity and progress*** within ***one*** of the following areas:

- a) work to extend and increase network engagement and inclusion within regional offices**
- b) increasing LGBTQ presence or leadership within other internal diversity networks or working groups (i.e. women, parents, cross-cultural)**

*Points will be allocated for **one** of the above. If you have completed work in more than one of the above stated areas, please include evidence of work in the ADDITIONAL WORK section at the end of this submission.*

- (a) If you have selected (a), please provide a list of activities/work conducted/completed to increase inclusion within regional offices and progress to date*
- (b) If you have selected (b), please provide evidence of activity or LGBTQ representation across other diversity networks*

**a) work to extend and increase network engagement and inclusion within regional offices**

Over the last 12 months, we have focused more proactively on engaging team members from our regional offices (note – By regional offices, we refer to those other than Sydney or Melbourne) and we have found that this has improved the Network’s presence and impact overall. The specific work that has contributed to this improvement includes:

- Adding a specific action to our Action Plan to identify and empower a ‘local champion’ in each office to assist with organising events and driving inclusion initiatives (see screenshot below);

Actions	Responsible areas	Timeline
3.1.4 Empower local champions in each office to lead events and initiatives	Rainbow leads	Ongoing

- Specifically referencing local events and news in different offices in our regularly published Rainbow Newsletter (see screenshot below); and

**Shout outs!**

1. We are delighted to see all the positive press and progress for our Melbourne colleagues! Congrats everyone!
2. We noted some not so positive press in a recent news article “Push to move Pride out of Perth” ☹️ – sending our “shout out!” and positive vibes to our Perth colleagues. And please always feel free to reach out!

- **Calling for expressions of interest from our Network to become a Local Champion – applications are currently under consideration (see screenshot below)**

<b>We want your opinion!</b>	<b>Become a Local Champion</b>
<p>We're looking for new ideas for</p> <ul style="list-style-type: none"> <li>• Days of significance to celebrate in 2021, and</li> <li>• LGBTQ+ charities</li> </ul> <p>If you have any suggestions, please <a href="#">email us</a>.</p>	<p>We're looking for people to be Local Champions in Adelaide, Brisbane, Canberra, Hobart, Darwin, Perth, Traralgon. In this role you will:</p> <ul style="list-style-type: none"> <li>• be the point of contact for the Rainbow Network in your office</li> <li>• assist with the coordination of events and days of significance</li> <li>• drive Rainbow inclusion in your office</li> </ul>
<b>Upcoming events/opportunities</b>	
<p><b>Rainbow goes public!</b></p> <p>ASIC's Rainbow Action Plan has been published externally. Take a look at the published plan <a href="#">here</a>.</p>	<p><a href="#">Express your interest now.</a></p>

**ANNUAL SUBMISSION: LGBTQ EMPLOYEE NETWORKS / RESOURCE GROUPS**

**ADVANCED  
Max. 4 points**

**20. Network Reporting**

**Within the assessed calendar year, we produced:**

- a) a network specific report on progress against network targets, in addition to**
- b) one of the following areas of performance:**
  - **additional advice provided to the organisation throughout the year**
  - **areas of significant contribution**
  - **areas of future focus**
  - **annual progress tracking against the AWEI**

*Please provide evidence for both (a) and (b). If you have undertaken above-and-beyond work for more than one of the areas mentioned above, please include evidence of work in the **ADDITIONAL WORK** section at the end of this submission.*

We provide quarterly reports to our Rainbow Sponsor which outlines the completion of the various goals in the Action Plan (see Annual Submission – Attachment Q20.1). The intention of these reports is to show our general progress towards completing the actions of the Action Plan as well as provide the Rainbow Sponsor with a high-level overview of work progressed and to highlight any issues or roadblocks currently being experienced.



## SECTION 4: VISIBILITY OF INCLUSION

ANNUAL SUBMISSION: 2020 VISIBILITY OF INCLUSION	FOUNDATION
21. Days of Significance	Max. 2 points
<p><b>Within the assessed calendar year, we have celebrated and promoted LGBTQ Days of Significance across the organisation while <i>providing and/or educating employees with an understanding of why these dates are important.</i></b></p>	
<p><i>For full points, please provide:</i></p>	
<p>a) <i>a list of LGBTQ Days of Significance celebrated throughout the assessed year</i></p> <p>b) <i>a brief description of each event, detailing how you promoted an understanding of why the day is significant</i></p>	
<p>Within the assessed calendar year, we celebrated and promoted the following LGBTQ Days of Significance:</p>	
<ol style="list-style-type: none"> <li>1. Fair Day (16 February 2020)</li> <li>2. IDAHOBIT (15 May 2020)</li> <li>3. Wear it Purple (28 August 2020)</li> </ol>	
<p>We celebrated Fair Day by holding a stall to promote our financial literacy message to the LGBTIQ+ community. Moneysmart (a subsidiary brand to ASIC) donated merchandise to enhance engagement. Emails and our intranet site (see Annual Submission – Attachment Q21.1) were used to inform and encourage our team members to attend and enjoy the family-friendly event and volunteer to engage with the LGBTIQ+ community to talk about financial literacy and our new Moneysmart website. A comprehensive training session was provided to volunteers.</p>	
<p>For IDAHOBIT Day, we promoted the Pride in Diversity facilitated webinar on “Breaking the Silence” to raise visibility of people across a spectrum of diverse gender identities and sexualities. Panel members shared their own personal experiences and what IDAHOBIT and breaking the silence meant to them. The invitation to attend was extended to all and promoted through email and ASIC’s intranet site (see Annual Submission – Attachment Q21.2).</p>	
<p>We celebrated Wear it Purple Day by hosting a webinar with the other Rainbow Regulators and Pride in Diversity on “how to be an empowered LGBTIQ+ ally”. The event also included a panel session comprised of Senior Executives from the ACCC, APRA, ASIC, AUSTRAC and the RBA, who each spoke about why they are allies and how they are contributing to an inclusive workplace. The invitation to attend was extended to all team members and promoted through email and ASIC’s intranet site (see Annual Submission – Attachment Q1.1).</p>	

**ANNUAL SUBMISSION: 2020 VISIBILITY OF INCLUSION**

**22. Visibility in the Workplace**

**FOUNDATION  
Max. 3 points**

**We actively encourage and provide a means by which employees can indicate their commitment to LGBTQ workplace inclusion through the use of: ALLY email signatures, lanyards, personal pronouns, virtual backgrounds, etc.**

*Please provide:*

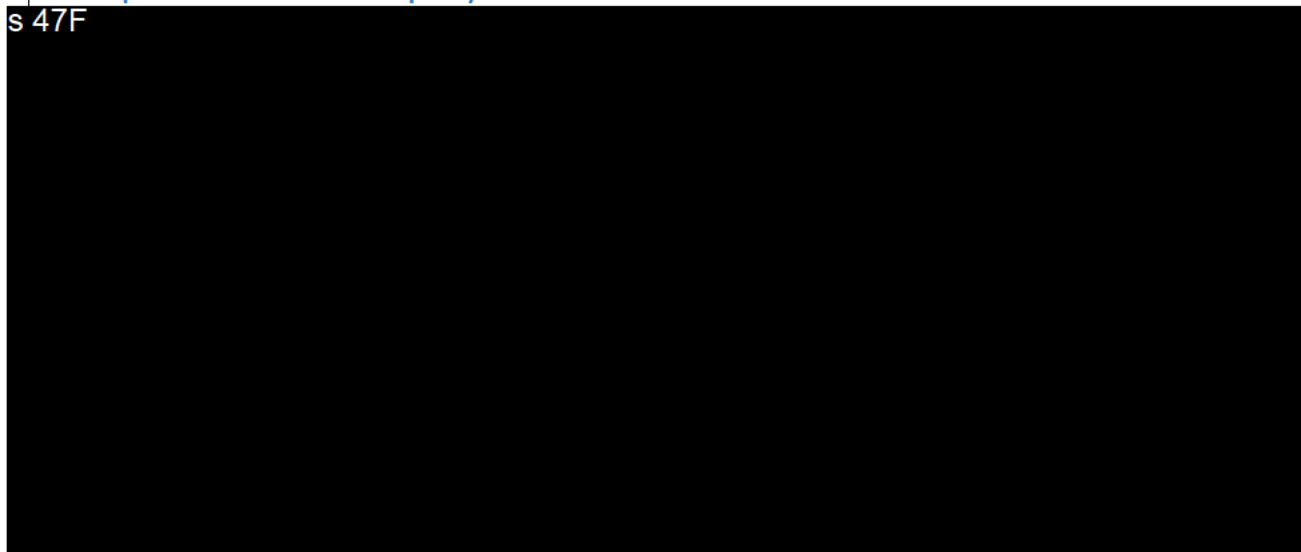
- a) a list of options available to employees through which they can visually indicate that they are an ally or supporter of LGBTQ inclusion*
- b) a couple of photos showing active support and visibility of these options within/around/throughout the workplace (please limit photos to a couple of photos – not required for each available option)*

**a) a list of options available to employees through which they can visually indicate that they are an ally or supporter of LGBTQ inclusion**

Our team members are able to visually indicate that they are an ally or supporter of LGBTIQ+ inclusion by:

- wearing our Rainbow Lanyard; and/or
- including their personal pronouns in their email signature.

**b) a couple of photos showing active support and visibility of these options within/around/throughout the workplace (please limit photos to a couple of photos – not required for each available option)**



<p><b>ANNUAL SUBMISSION: 2020 VISIBILITY OF INCLUSION</b>  <b>23. Ally / Champion Reference Guides</b></p>	<p><b>INTERMEDIATE</b>  <b>Max. 3 points</b></p>
<p><b>We provide Ally/LGBTQ Champion Reference Guides or materials on how to be an effective ally and/or an active champion for LGBTQ inclusion within the workplace.</b>  <i>Please provide</i></p> <p>(a) <i>copy of this guide or an outline of the content covered within the guide</i>  (b) <i>information regarding how it is distributed or where this guide can be found</i></p>	
<p><b>a) copy of this guide or an outline of the content covered within the guide</b>  In 2020, we launched an online LGBTQ+ awareness and education course that was based on resources developed by the SBS (see Annual Submission – Attachment Q23.1). The course is designed to improve a person’s understanding of the LGBTQ+ community and also provides tools on how to be a good ally by applying what is learnt to promote a fairer, more LGBTQ+ inclusive society. This course is comprised of 3 parts that cover the following topics:</p> <ul style="list-style-type: none"> <li>• LGBTQ+ letters</li> <li>• Out</li> <li>• What is intersex</li> <li>• Transition</li> <li>• Everyday conversations</li> <li>• Allies</li> <li>• Symbols</li> </ul> <p><b>b) information regarding how it is distributed or where this guide can be found</b>  Our LGBTQ+ awareness and education course is periodically promoted in learning emails and on the wider ASIC intranet home page. The course itself is located on our Learning Management System (Learnhub) and can be accessed by all team members at any time. The module is also listed as a great resource for LGBTQ+ allies on our Rainbow Network intranet page.</p>	
<p><b>ANNUAL SUBMISSION: 2020 VISIBILITY OF INCLUSION</b>  <b>24. Individual LGBTQ Inclusion Work Recognition</b></p>	<p><b>INTERMEDIATE</b>  <b>2 points</b></p>
<p><b>Leadership has formally recognised and communicated the work of employee/s across the organisation, regarding their <u>internal</u> contribution in LGBTQ inclusion within the workplace.</b>  <b>Note: This excludes PiD communications around AWEI Awards – but can include your leadership’s formal <u>internal</u> recognition of the contribution made by employees.</b>  <i>Please provide evidence.</i></p>	
<p><b>Example 1</b>  Following the successful launch of our first Action Plan, our Rainbow Sponsor (Commissioner Sean Hughes) sent his congratulations and thanks to the Rainbow Leads and acknowledged the important milestone that the plan represented as well as the effort put into formalising our first strategy for driving LGBTQ+ inclusion (see Annual Submission – Attachment Q24.1).</p>	

**Example 2**

Two emails from the Rainbow Network Leadership team were sent to the Rainbow Network Priority 1 Team recognising contributions by employees in the second half of 2020 (see Annual Submission – Attachment Q24.2).

**ANNUAL SUBMISSION: 2020 VISIBILITY OF INCLUSION**

**25. Confidential Contacts**

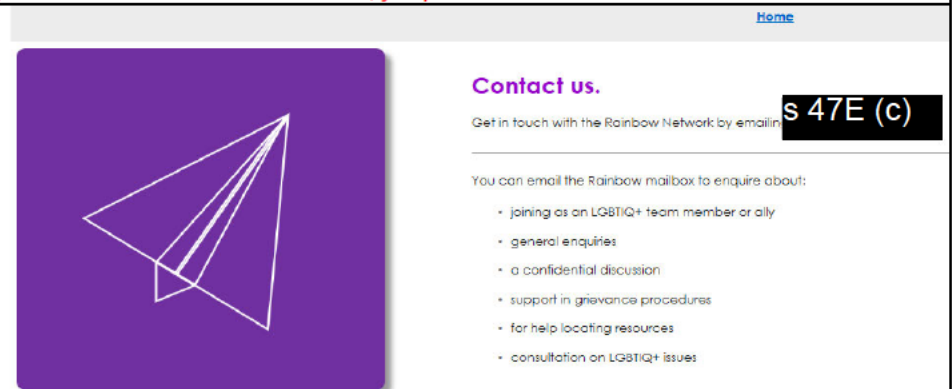
**INTERMEDIATE**  
**2 points**

**We have an LGBTQ intranet page that clearly identifies LGBTQ people or allies who can be contacted for a confidential and informal discussion regarding being an LGBTQ employee within the organisation. This is over and above any HR or grievance contacts and confidentiality must be assured.**

*Please provide a screenshot of where this information is provided. If the contact is not clearly communicated as CONFIDENTIAL, full points will not be awarded.*

Our Rainbow Network intranet “Contact Us” page provides the contact details for team members to engage in a confidential discussion on a range of matters with the Rainbow Leads (see screenshot).

We also provide further contact details for LGBTIQ+ team members seeking independent support/confidential counselling on our Rainbow intranet page (see Standing Submission – Attachment Q10.2).



**ANNUAL SUBMISSION: 2020 VISIBILITY OF INCLUSION**

**26. Communication of LGBTQ Support Information**

**INTERMEDIATE**  
**Max. 2 points**

**As the initial source of information for LGBTQ employees, our LGBTQ intranet page clearly articulates:**

- a) the process for formally reporting workplace LGBTQ bullying/harassment**
- b) available LGBTQ friendly support (should this occur)**

*For full points, please:*

- (a) provide a screenshot of where this information is communicated on the network or LGBTQ diversity page.*
- (b) clearly show LGBTQ friendly support avenues*

- a) the process for formally reporting workplace LGBTQ bullying/harassment**

The process for formally reporting workplace bullying/harassment is set out in our policies and procedures on Bullying, Discrimination & Harassment, and Sexual Harassment. This information is also communicated on our Rainbow Network intranet page that further clarifies the process for LGBTIQ+ team members (see Standing Submission Q6.2)



**b) available LGBTQ friendly support (should this occur)**

LGBTIQ+ team members can access various forms of support should they be the victim of bullying and/or harassment. These support avenues are clearly displayed on our Rainbow Network intranet pages and include Harassment Contact Officers, EAP support and confidential discussions with the Rainbow Leads (see Standing Submission – Attachment Q6.2 and Standing Submission – Attachment Q10.2).

**ANNUAL SUBMISSION: 2020 VISIBILITY OF INCLUSION**

**27. LGBTQ Social Media Streams**

**ADVANCED  
2 points**

**We have internal LGBTQ social media streams or any other means by which we can engage staff in conversations and post items of interest in regard to our inclusion work (may include but is not limited to Yammer, Twitter, Facebook, SharePoint).**

*Please provide screenshot evidence of such posts and/or conversations on your social media streams.*

Our Rainbow Leads engage with the Rainbow Network through a newsletter at least every two months to share new information, updates on the Action Plan and announcements about events and initiatives. This newsletter is designed to inform and engage team members in the LGBTIQ+ inclusion initiatives being run by the Rainbow Network and generate more conversations about LGBTIQ+ inclusion (see Annual Submission – Attachment Q27.1) for two examples. These newsletters often request volunteers from the Network to assist with various activities and events and are often well received.

## SECTION 5: TRAINING, AWARENESS & PROFESSIONAL DEVELOPMENT

Please do not include compliance training covering anti-discrimination policies or training within events. Both of these are covered elsewhere.

ANNUAL SUBMISSION: 2020 TRAINING, AWARENESS & PROFESSIONAL DEVELOPMENT		FOUNDATION 2 points
<b>28. Face-to-Face Training</b>		
We have made face-to-face LGBTQ Awareness / Inclusion / Ally Training available to all employees within the assessed calendar year. <b>This would include any interactive training conducted via internet technologies (i.e. WebEx, Zoom, Teams, etc).</b>		
Name of Trainer or Provider:	S 47F	<input checked="" type="checkbox"/> Our trainer is accredited by or from Pride in Diversity
Length of training:	1.5 hours	
Date/s:	Tuesday 25 February 2020 – 2.30pm-4pm	
Number of attendees approx that will have gone through this training:	60	
Evidence of training undertaken (one piece required):	See Annual Submission – Attachment Q28.1	
Copy of presentation or outline of training covered:	Not required - Pride in Diversity delivered	

ANNUAL SUBMISSION: 2020 TRAINING, AWARENESS & PROFESSIONAL DEVELOPMENT		FOUNDATION 2 points
<b>29. Online Training</b>		
We have LGBTQ online training modules or pre-recorded content that can be accessed by employees throughout the assessed calendar year.		
Name of Online Training or Video:	LGBTQI+	
Length of the LGBTQ component within the video/training:	30 minutes	
Where employees can access this training :	See Annual Submission – Attachment Q29.1 – this training is available on demand to all team members through our LMS.	
Tracking:	<b>(a) how participation numbers are tracked</b> Participation in this module is tracked by enrolments and completion of the module in our LMS. <b>(b) approximate number of people accessing this training throughout the assessed year</b> Approximately 54 people accessed this training in 2020.	
Copy of the module or a brief outline of it's LGBTQ content.	See Annual Submission – Attachment Q29.1	

<b>Name of Online Training or Video:</b>	LGBTI inclusion: Walking in rainbow shoes
<b>Length of the LGBTQ component within the video/training:</b>	30 minutes
<b>Where employees can access this training :</b>	See Annual Submission – Attachment Q29.2 – this training is available on demand to all team members through our LMS.
<b>Tracking:</b>	<p>(a) <b>how participation numbers are tracked</b> Participation in this module is tracked by enrolments and completion of the module in our LMS.</p> <p>(b) <b>approximate number of people accessing this training throughout the assessed year</b> Approximately 6 people accessed this training in 2020.</p>
<b>Copy of the module or a brief outline of it's LGBTQ content.</b>	See Annual Submission – Attachment Q29.2

<b>ANNUAL SUBMISSION: 2020 TRAINING, AWARENESS &amp; PROFESSIONAL DEVELOPMENT</b>	<b>ADVANCED</b>
<b>30. Professional Development for LGBTQ Employees</b>	<b>Max. 2 points</b>
<p><b>Outside of the Pride in Practice Conference within the assessed calendar year, we have <u>either</u>:</b></p> <p>(a) provided LGBTQ people with LGBTQ specific leadership training, internally or externally (excludes conferences unless specifically dedicated to LGBTQ leadership development)</p> <p>(b) put processes in place to ensure that there is LGBTQ representation within talent development programs.</p> <p><i>Please provide evidence for the <u>one</u> selected item above. If you can provide both, please add the second item to the ADDITIONAL WORK section at the end of this submission.</i></p> <p>N/A for 2020.</p>	

<b>ANNUAL SUBMISSION: 2020 TRAINING, AWARENESS &amp; PROFESSIONAL DEVELOPMENT</b>	<b>ADVANCED</b>
<b>31. LGBTQ Inclusion Training Plan</b>	<b>Max. 4 points</b>
<p><b>We have a strategy or training plan in place to specifically address LGBTQ inclusion and/or awareness training for all employees.</b></p> <p><i>Please provide:</i></p> <p>(a) a copy of the strategy</p> <p>(b) outlined progress made throughout the assessed year</p>	
<p><b>a) a copy of the strategy</b> Our training strategy is outlined in the Rainbow Action Plan, specifically in actions 3.2.1 and 3.2.3 (see Annual Submission – Attachment Q31.1).</p> <p><b>b) outlined progress made throughout the assessed year</b> In 2020, we launched a new online module to further promote LGBTIQ+ inclusion, this module was adapted from content developed by SBS and covers key areas of LGBTIQ+ inclusion (see Annual Submission – Attachment Q29.1).</p>	

**ANNUAL SUBMISSION: 2020 TRAINING, AWARENESS & PROFESSIONAL DEVELOPMENT**

**32. LGBTQ Conferences, Seminars and Events**

**ADVANCED  
2 points**

**Within the assessed calendar year, we have provided opportunities for employees to attend external dedicated LGBTQ conferences, seminars or events.**

**Note: This may include but is not limited to the Pride in Practice Conference, Regional Reach or Sapphire Events, or external LGBTQ panel events. This does not include roundtables or social networking events.**

*Please provide evidence.*

Within the assessed calendar year, ASIC's Rainbow Network has provided opportunities for ASIC employees to attend the following external dedicated LGBTQ conferences, seminars or events (see Annual Submission – Attachment Q32.1):

- IDAHOBIT “Breaking the Silence” Panel Event;
- Virtual World AIDS Day event
- The State of Inclusion: Pride in the Public Sector webinar;
- Pride in Practice Online; and
- Wear it Purple Event – education and panel sessions on “how to be an empowered LGBTIQ+ ally”.



## SECTION 6: EXECUTIVE LEADERSHIP & ENGAGEMENT

ANNUAL SUBMISSION: 2020 EXECUTIVE LEADERSHIP & ENGAGEMENT	INTERMEDIATE
33. Executive Sponsor or Champion	Max. 2 points
<p><b>We have a visible and active Executive Sponsor or Senior Champion for LGBTQ inclusion who has both:</b></p>	
<p><b>a) contributed to the LGBTQ strategy</b>  <b>b) is engaged in tracking performance progress against the strategy throughout the year</b></p>	
<p><i>For full points, please provide evidence for all parts to this question:</i></p>	
<p><i>a) specific contribution to the strategy</i>  <i>b) level of engagement, tracking progress against the strategy (signed statement by the Executive as to their role in strategy development / tracking will suffice)</i></p>	
<p><b>a) contributed to the LGBTQ strategy</b></p>	
<p>Our Executive Sponsor, Commissioner Sean Hughes, has taken a significant interest in the progression of LGBTQ+ inclusion and is willing to assist in any way he can. Commissioner Hughes not only played an important role in the development and approval of our Action Plan, he also assists in the completion of specific actions to drive LGBTQ+ inclusion. In particular, he:</p>	
<ul style="list-style-type: none"> <li>• regularly engages in communicating key issues, events and news about LGBTQ+ inclusion to the broader organisation and his peers (see Annual Submission – Attachment Q33.1); and</li> <li>• attends Rainbow Network meetings (with broader membership base) to show that LGBTQ+ inclusion is supported by the highest level of management (see Annual Submission – Attachment Q33.2)</li> </ul>	
<p><b>b) is engaged in tracking performance progress against the strategy throughout the year</b></p>	
<p>Commissioner Hughes meets quarterly with the Rainbow Network Leads to track progress against our Action Plan (see Annual Submission – Attachment Q33.3) and actively seeks to assist in progressing any actions and addressing any issues or roadblocks.</p>	
ANNUAL SUBMISSION: 2020 EXECUTIVE LEADERSHIP & ENGAGEMENT	ADVANCED
34. Executive Advocacy	2 points
<p><b>Within the assessed calendar year, Senior Executive(s) within our organisation have:</b></p>	
<p><b>a) advocated for LGBTQ inclusion at an executive level <i>externally</i> amongst peers</b>  <b>b) advocated for LGBTQ inclusion at an executive level <i>internally</i> amongst peers; or</b>  <b>c) attended at least two of the Pride in Diversity Executive Allies Forums within the assessed year</b></p>	
<p><i>Please provide evidence for <u>one</u> of the above. If you can provide evidence for two or more of the above, please add the additional item/s to the ADDITIONAL WORK section at the end of this submission.</i></p>	
<p><b>a) advocated for LGBTQ inclusion at an executive level <i>externally</i> amongst peers</b></p>	
<p>On 28 August 2020, the Rainbow Regulators (of which ASIC is an active member) and Pride in Diversity organised and facilitated a webinar on “how to be and empowered LGBTQ+ ally” to celebrate Wear it Purple Day. Our Rainbow Sponsor, Commissioner Sean Hughes, and senior executives from the ACCC, APRA, AUSTRAC and the RBA also formed a panel of speakers for the second part of this webinar. They were asked a number of questions in relation to how and why they became allies and how they are contributing to an inclusive workplace (see Annual Submission – Attachment Q1.1).</p>	

ANNUAL SUBMISSION: 2020 EXECUTIVE LEADERSHIP & ENGAGEMENT	ADVANCED
35. CEO or Equivalent Communications	2 points
<p><b>Within the assessed calendar year, our CEO or equivalent has sent formal communications to all employees comprehensively discussing progress made in LGBTQ inclusion work and its importance to the organisation. This may be CEO communications prioritised on intranet pages or within a CEO newsletter (beyond social media, award announcements only).</b></p> <p><i>Please provide the most comprehensive communication sent out by your CEO (or equivalent) to all employees in regard to your work in LGBTQ inclusion.</i></p>	
<p>On 8 May 2020, Commissioner Sean Hughes sent formal communication to all team members comprehensively discussing the progress the Rainbow Network had made in LGBTIQ+ inclusion and its importance to the organisation (see Annual Submission – Attachment Q35.1). This particular communication is related to the launch of our Rainbow Action Plan, which was a significant milestone for us given it was the first time we had developed one.</p>	

ANNUAL SUBMISSION: 2020 EXECUTIVE LEADERSHIP & ENGAGEMENT	ADVANCED
36. CEO or Equivalent Speaking at Events	2 points
<p><b>Our CEO or equivalent has spoken at LGBTQ events held by our organisation, either internally or externally.</b></p> <p><i>For full points, all of the following must be provided:</i></p> <ul style="list-style-type: none"> <li><i>(a) evidence of the individual speaking at the event and approximate duration of speech</i></li> <li><i>(b) brief outline of event purpose and typical audience</i></li> <li><i>(c) approximate attendee numbers</i></li> </ul>	
<p><b>a) evidence of the individual speaking at the event and approximate duration of speech</b></p> <p>On 28 August 2020, the Rainbow Regulators (of which ASIC is an active member) and Pride in Diversity held a webinar to celebrate Wear it Purple Day. Senior Executives from the ACCC, APRA, ASIC, AUSTRAC and the RBA formed the panel of speakers, including ASIC Commissioner Sean Hughes (see Annual Submission – Attachment Q1.1). This event ran for approximately 1 hour, 30 minutes of which was used as a panel/Q&amp;A for the agency executives.</p>	
<p><b>b) brief outline of event purpose and typical audience</b></p> <p>The event was held to celebrate the 10<sup>th</sup> anniversary of Wear it Purple Day and the focus of the event was to facilitate a discussion about “How to be an empowered LGBTIQ+ Ally” through training/education provided by Pride in Diversity. The panel discussion was a chance for senior leaders of each organisation to speak about why they became allies, why allyship is important, and how they are contributing to an inclusive workplace. The typical audience was team members of the ACCC, APRA, ASIC, AUSTRAC and the RBA.</p>	
<p><b>c) approximate attendee numbers</b></p> <p>In excess of 500 people attended this webinar.</p>	

## SECTION 7: DATA COLLECTION & REPORTING

### ANNUAL SUBMISSION: 2020 DATA COLLECTION & REPORTING

#### 37. Employee Data Analysis

**INTERMEDIATE**  
**Max. 3 points**

Within our annual engagement, pulse or diversity surveys, either for the assessed calendar year or year prior, we have:

- a) included questions in regard to one's sexual orientation, gender identity or whether or not someone is intersex, AND
- b) analysed and reported on LGBTQ engagement data alongside other diversity demographics or overall population statistics

For full points, please provide:

- a) details of when that data was last collected
- b) a copy of the questions used to identify LGBTQ population
- c) an overview of comparative findings or analysis as compared to other internal populations

#### a) details of when that data was last collected

In 2019, we participated in the Australian Public Service (APS) Census which collects demographic, engagement and sentiment data from employees across the APS for comparative benchmarking on key people issues. In July 2019, we left the public service and therefore did not participate in the Census in 2020.

#### b) a copy of the questions used to identify LGBTQ population

The 2019 APS Census asked participants to specify their gender and sexual orientation which could be used to identify the LGBTIQ+ population (see Annual Submission – Attachment Q37.1).

#### c) an overview of comparative findings or analysis as compared to other internal populations

s 47E (c)

## s 47E (c)

**Other work in 2020**

As a result of leaving the public service, our People & Development (P&D) team have taken the opportunity to redesign our employee feedback touch points to better understand our team members and gain more meaningful insights into the feedback they provide. As part of this project, P&D has developed a new engagement survey that will incorporate more targeted questions than the APS Census and also ask more informative demographic questions in relation to the LGBTIQ+ population when it is launched in 2021 (see Annual Submission – Attachment Q37.1). Throughout 2020, in place of an annual engagement survey, we ran a number of pulse surveys that focused on support and wellbeing during the COVID-19 pandemic, unfortunately, these surveys did not collect data on sexual orientation, gender identity or whether or not someone is intersex.

**ANNUAL SUBMISSION: 2020 DATA COLLECTION & REPORTING**
**ADVANCED**
**38. LGBTQ Analysis**
**3 points**

**Within the assessed calendar year (or year prior), we have specifically asked, investigated or assessed one of the following:**

- if LGBTQ employees are directly or indirectly disadvantaged at any stage during the recruitment process
- if LGBTQ employees are directly or indirectly disadvantaged in talent management processes or career progression
- if there are discrepancies in attrition rates between LGBTQ and non-LGBTQ employees
- if within gender aggregated data, we include non-binary employees and if not a proposed plan of action
- if internal engagement or AWEI Survey data show any “most in need” areas to focus on, resulting in a plan of action

*Please provide evidence for one of the above, including a plan of action where stipulated. Points will be given for one of the above. If you have done work in more than one of the above areas within the assessed year, or year prior, please add such work to the ADDITIONAL WORK section at the end of this submission.*

- **if within gender aggregated data, we include non-binary employees and if not a proposed plan of action**

In 2020, we worked with our Diversity & Inclusion Manager and Pride in Diversity to establish new standards in how we collected and reported on gender information for our Diversity Council reports. Prior to this change, these reports only reported on two genders (male/female) and those that preferred not to say. Following extensive consultation with Pride in Diversity and our relevant internal stakeholders, we were able to make meaningful changes to our candidate application form to include the following options for when an applicant provides information about their gender:

- Male
- Female
- Non-binary/gender diverse
- Other
- Prefer not to say

This change would allow us to accurately report on non-binary employees in gender aggregated data during the recruitment process for our Diversity Council reports. The proposal for the new Diversity Council report (see Annual Submission – Attachment Q38.1) to include non-binary gender aggregated data was approved in the December Diversity Council meeting. In addition to this, we are continuing our work on including non-binary employees in gender aggregated data by making changes to our HRIS. This will involve including a separate gender field in the HRIS that allows team members to specify their gender using the aforementioned options – noting that the HRIS will collect ‘sex’ as the required information for external reporting purposes and ‘gender’ as how a team member identifies.



## SECTION 8: COMMUNITY ENGAGEMENT

<b>ANNUAL SUBMISSION: 2020 COMMUNITY ENGAGEMENT</b> <b>39. Employer Branded Participation at Community Events</b>	<b>INTERMEDIATE</b> <b>2 points</b>
<p><b>Within the assessed calendar year, we held stalls at LGBTQ community events or participated in pride parades under our employer/company branding. (This may include online community events with prominent employer branding.)</b></p> <p><b>Note: This must be a targeted branding exercise, over and above employees wearing corporate t-shirts but not contributing formally to the event.</b></p> <p><i>Please provide evidence of branding displayed at one such community event, including online community events.</i></p>	
<p>On 16 February 2020, with the support of AFSA and APRA, we hosted a Fair Day stall to help spread our financial literacy message to the LGBTIQ+ community. Our Moneysmart brand donated merchandise to enhance engagement and we also displayed banners and other corporate items to promote our brand. Our stall was rostered with volunteers from across the organisation, all of whom enjoyed the family-friendly event and volunteered to engage with the LGBTIQ+ community to talk about financial literacy and our new Moneysmart website (see Annual Submission – Attachment Q21.1).</p>	
<b>ANNUAL SUBMISSION: 2020 COMMUNITY ENGAGEMENT</b> <b>40. Pro-Bono or Financial Support: LGBTQ Charities/Organisations</b>	<b>INTERMEDIATE</b> <b>2 points</b>
<p><b>Throughout the assessed calendar year, we have provided pro-bono or financial support to LGBTQ charities/community groups. (This includes sponsorships of events, publications or pro-bono accommodation/venue support. Fundraising is covered in Q41.)</b></p> <p><i>Please provide evidence of one such instance.</i></p>	
<p>N/A for 2020.</p>	
<b>ANNUAL SUBMISSION: 2020 COMMUNITY ENGAGEMENT</b> <b>41. Fundraising</b>	<b>INTERMEDIATE</b> <b>2 points</b>
<p><b>Throughout the assessed calendar year, we have engaged in fundraising for LGBTQ charities / communities / groups. (This may include the support of any LGBTQ charity groups within workplace giving programs.)</b></p> <p><i>Please provide evidence of one such instance. (This can be a letter of appreciation, certificate, receipts or confirmation of funds raised issued by the charity/group.)</i></p>	
<p>Our Workplace Giving Program allows team members to make pre-tax contributions to over 40 charities. Since 2017, one of these charities has been Minus18, an organisation that exists to tackle homophobia, biphobia and transphobia through events, resources, workshops and campaigns. Each year, more than 150,000 LGBTI youth access Minus18 online support. In 2020, our team members donated <b>s 47G (1)(a)</b></p>	

## SECTION 9: SURVEY

ANNUAL SUBMISSION: OPTIONAL SURVEY PARTICIPATION

42. Survey Participation

OPTIONAL

2 points

We are participating in the 2021 AWEI Survey. *Please note:*

- *Partial points will not be given. Full points will only be obtained for the following:*
  - *Large Employers (2001 – 8000 employees): if 100 or more survey responses are collected*

## SECTION 10: ADDITIONAL WORK

This section allows you to describe and provide evidence for any additional work completed throughout the assessed calendar year:

- (a) *that has not already been included within this index submission*
- (b) *that you believe is significantly over and above what a particular question or index topic is looking for*

ANNUAL SUBMISSION: ADDITIONAL WORK

43. ADDITIONAL WORK

ADDITIONAL

Max. 15 points

Building external relationships

A number of years ago, four Commonwealth Government agencies came together to establish an interagency working group on LGBTIQ+ inclusion and named this group the Rainbow Regulators. Unfortunately, due to a lack of resourcing and support from internal networks, the working group started to meet less frequently and resorted to only being engaged with around Mardi Gras.

In 2020, our Rainbow Leads dedicated a significant amount of time and energy in revitalising the Rainbow Regulators and even invited a fifth member to join the group. This group is now comprised of LGBTIQ+ network representatives from ASIC, APRA, ACCC, RBA and AUSTRAC.

The re-establishment of this group is quite important as it gives participating agencies the opportunity to learn from and leverage off the expertise and experiences of their peers. Without our Rainbow Leads' direction and leadership, the interagency working group would not be where it is today. Over the past year, the Rainbow Regulators have met monthly to discuss important LGBTIQ+ issues, organise events to celebrate days of significance, and most recently we have developed a sub-working group of Network members and HR representatives to work on the development of our respective gender affirmation policies/documents and resources (see Annual Submission – Attachment Q43.1).