

Integrity clearance policy

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Policy statement

The NSW Resources Integrity clearance policy is established under the Integrity Framework as an organisation-specific, risk-based control to detect and prevent fraud and corruption and to build public trust in the NSW Resources workforce in administering and regulating the resources sector.

Pre-employment screening is authorised under the Government Sector Employment Act 2013 to ensure the suitability, integrity and identity of people engaged to work in the NSW Public Service. Screening requirements are determined based on the role and applicable legislative or organisational requirements.

NSW Resources applies integrity screening both prior to employment/engagement and, where required, on an ongoing basis so that individuals can obtain and maintain an integrity clearance appropriate to their role and level of integrity risk. An integrity clearance is determined on the basis of a person's screening checks and is decided in accordance with this policy by the NSW Resources Integrity Panel.

Applicability

This policy applies to NSW Resources employees and to other individuals who are required to undergo integrity clearance screening in connection with employment/engagement (including employment, contract engagement or other approved arrangements), appointment or ongoing suitability for roles at NSW Resources. This includes, but is not limited to, preferred recruitment candidates, graduates and trainees, work experience students, volunteers, and non-payroll contractors where integrity screening is required under this policy.

Principles

Integrity clearance screening at NSW Resources will be guided by the following principles:

- **Purpose:** Integrity clearance screening supports NSW Resources' responsibility to maintain a trustworthy and accountable workforce by ensuring individuals are suitable to perform their roles in accordance with public sector integrity and conduct standards.
- **Governance framework:** Integrity clearance screening will align with applicable legislation, ethical frameworks, and recognised standards to support consistent and lawful workforce decision-making.
- **Risk-based approach:** Integrity clearance screening will be applied prior to employment/engagement and on an ongoing basis, informed by the inherent requirements of roles and the level of integrity risk.
- **Privacy and personal information protection:** Personal information collected for integrity screening will be managed in accordance with the *Privacy and Personal Information Protection Act 1998*, including lawful collection, secure handling, appropriate use and disclosure, retention and disposal, and access to and correction of personal information, including where information is collected or processed by a contracted provider.
- **Procedural fairness and transparency:** Integrity clearance decisions will be made in a fair, impartial and transparent manner, in accordance with principles of procedural fairness and appropriate governance arrangements.
- **Participation and review:** Integrity clearance screening requires the individual's consent for the collection and use of personal information and is a condition of employment/engagement or ongoing suitability for designated roles. Individuals have the right to seek review of integrity clearance decisions.

Integrity clearance screening

Requirement to participate

Participation in integrity clearance screening is a condition of employment/engagement and, where applicable, ongoing suitability for designated roles at NSW Resources. This requirement is authorised under section 54 of the Government Sector Employment Act 2013, which allows the imposition of conditions of engagement such as security or other clearances. It also aligns with NSW Resources' obligations under the NSW Public Sector Code of Ethics and Conduct, which underpin ethical and lawful workforce behaviour.

Pre-employment/engagement screening

Where integrity screening is required prior to employment/engagement, individuals must provide consent for screening to be undertaken in accordance with this policy. Until consent is provided, the employment/engagement process cannot proceed.

Ongoing role-based screening

Where integrity screening and re-screening is required as part of an employee's role, participation is a condition of ongoing employment or ongoing suitability for that role. Certain screening checks require the individual's consent as a legal prerequisite to the check being conducted. Where consent is not provided, this does not negate the requirement to participate in integrity screening.

If an employee declines to participate in required screening, they may not satisfy the inherent requirements of the role.

Refusal to participate: decision-making process

Where an employee declines to participate in required integrity screening, the matter will be managed through a formal decision-making process led by the relevant Executive Director, in consultation with the People division and other advisory areas (including Industrial Relations, where appropriate).

Decisions will be made on a case-by-case basis, having regard to:

- the inherent requirements of the role;
- operational and integrity risks;
- the employee's circumstances; and
- principles of procedural fairness.

Possible outcomes may include reassignment, conditional continuation in an alternative role (where available), or other employment action consistent with applicable employment arrangements, policies and legislation. Decisions are made on a case-by-case basis and are not predetermined.

Before a final decision is made, the employee will be given an opportunity to respond and, where appropriate, to reconsider and participate in the required integrity screening.

Designation of high-risk roles

NSW Resources has identified a defined set of roles that are designated as high risk for the purposes of integrity screening and rescreening. High-risk roles are those that, by their nature, involve an elevated level of integrity, operational or reputational risk.

High-risk roles may include, but are not limited to:

- statutory appointments exercising regulatory or enforcement powers;
- senior executive roles; and
- other positions assessed as inherently high-risk having regard to the functions and responsibilities of the role.

The designation of high-risk roles is determined by NSW Resources Executive and is recorded in a centrally maintained register. This register is reviewed periodically and updated as roles are created, amended or reclassified. Where new or changed roles are proposed, designation as a high-risk role will be subject to approval by the relevant Executive Director.

Employees whose roles are designated as high-risk will be notified of applicable screening and re-screening requirements.

Rescreening frequency

Employees in roles designated as high risk are subject to periodic re-screening to support ongoing integrity assurance.

Rescreening for high-risk roles will ordinarily occur on a two-yearly basis, unless otherwise determined through a risk-based assessment.

In addition, NSW Resources may require additional ad hoc rescreening of high-risk roles outside the regular cycle where new, changed or emerging risks are identified that are relevant to the role. Any decision to undertake re-screening outside of the two-year cycle will be informed by the inherent requirements of the role, the nature of the identified risk, and principles of proportionality and procedural fairness.

Roles other than high risk are not routinely subject to re-screening, but may be re-screened by exception, where requested by the relevant Executive Director and supported by a risk-based assessment.

Screening checks and applicability

To support integrity clearance decisions, NSW Resources undertakes a range of screening checks, applied on a risk-based basis having regard to the role and employment/engagement type. Screening checks are coordinated by the Integrity Officer and conducted through the department's contracted employment screening provider.

Screening checks are conducted using an individual's current full legal name and any other name(s) by which they have been known, as required for the relevant checks.

As part of the screening and decision-making process, individuals may be requested by the Integrity Officer to confirm information or provide additional information relevant to screening outcomes.

The types of screening, their applicability, exemptions, and the checks that may be required for different employment/engagement types and roles are set out in Table 1.

A description of each screening check, including whether identity documentation is required, is provided in Appendix A. The screening process can take approximately 10 business days.

Table 1: Integrity screening checks and applicability

Type	Requirements	Exemptions	Screening checks
PRE-EMPLOYMENT / ENGAGEMENT Requested by Talent Advisory Partner in the People division or Executive Director	- All preferred recruitment candidates recommended for NSW Resources employment. - Work experience students, volunteers and non-payroll contractors engaged for more than 3 months (cumulative), or for shorter periods where screening is required to manage risk as determined by the Executive Director.	- Current NSW Public Service employees who have been employed for >12 months and are not being appointed to a high-risk role. - Have undergone the same screening checks within the previous 12-months and no integrity clearance conditions or concerns have been identified. - Temporary acting arrangements in a high-risk role of less than 6 weeks	- General and Conflicts of Interest Declaration - National Criminal History Check - Credit Default Check - Bankruptcy Check - Business Interests Check - Adverse Media Check - Qualifications Check (where required)

Type	Requirements	Exemptions	Screening checks
	Graduates and trainees.	are exempt. If the acting arrangement is extended beyond 6 weeks, screening must be completed.	
RESCREENING HIGH-RISK ROLES • Coordinated by Integrity Officer	- High-risk roles, including roles held in substantive appointments and temporary acting arrangements. - Other roles are not subject to re-screening, unless by exception and when approved by the relevant Executive Director.	Nil exemptions	- Conflict of Interest Declaration (DPIRD Declarations App) - National Criminal History Check - Credit Default Check - Bankruptcy Check - Business Interests Check - Adverse Media Check

National criminal history check

A National criminal history check is required as part of all integrity clearance screening and re-screening processes. The check must be undertaken at the request of the Integrity Officer for the relevant screening event and completed within the timeframe specified in that request.

Employees undergoing rescreening may either:

- complete an Australian Criminal Intelligence Commission's (ACIC) *Nationally Coordinated Criminal History Check* through the Department's contracted employment screening provider; or
- complete a *National Police Check* directly through:
 - the NSW Police Force (via the Community Portal or Service NSW);
 - the Australian Federal Police; or
 - another ACIC-accredited body authorised to provide police checks

and provide the resulting certificate to the Integrity Officer.

Regardless of the pathway used, criminal history checks are submitted by the issuing authority or accredited body to the National Police Checking Service Support System, the national system operated by the ACIC.

While identity documentation is required by the issuing authority or employment screening provider to conduct a National Criminal History Check, NSW Resources does not receive copies of personal identity documentation and receives only the outcome of the criminal history check.

Any criminal history check provided directly by an employee must meet verification requirements determined by NSW Resources and be assessed as part of the integrity clearance decision.

Where a National Police Check is obtained by an employee for the purposes of integrity re-screening, the fee associated with obtaining the police check can be reimbursed up to a maximum of \$100.

Pre-employment/engagement criminal history checks for preferred candidates and other persons are conducted through the Department's contracted employment screening provider.

Access to and correction of personal information

Individuals may request access to, and correction of, their personal information collected and used for the purposes of integrity clearance screening, in accordance with applicable privacy legislation.

Requests relating to personal information held by NSW Resources are managed in accordance with the Privacy and Personal Information Protection Act 1998 (NSW) and may be made by contacting the Integrity Officer.

Requests relating to personal information held by the contracted employment screening provider may be made in accordance with the Privacy Act 1988 (Cth). Information on how to make such requests is available in the contracted provider's privacy policy.

Integrity clearance decisions

Integrity clearance decisions are made by the NSW Resources Integrity Panel, appointed by the Deputy Secretary and governed by a Terms of Reference.

Following the completion of a person's screening checks, the Integrity Officer prepares an Integrity Clearance Decision Report for consideration by the Integrity Panel.

Integrity Panel decision outcomes are set out in Table 2.

Table 2: Integrity clearance decision outcomes

Decision	Title	Description
ENDORSED	Unconditional Integrity Clearance	The person's screening check results are clear, or any information returned does not present a risk to NSW Resources.
ENDORSED WITH CONDITIONS	Conditional Integrity Clearance	The person's screening check results returned information that may present a risk to NSW Resources that can be mitigated or managed through certain conditions of employment. The Integrity Panel may determine that conditions are to be applied, which may include: • conditions noted in the decision report and managed by the hiring manager and relevant Senior Executive; • conditions included in the person's employment Letter of Offer or Contract; or • conditions issued by way of a 'Regulator Direction' for Resources Regulator employees who are or are to be in roles designated as

Decision	Title	Description
		'government official' appointed under section 18 of the <i>Work Health and Safety (Mines and Petroleum Sites) Act 2013</i>. Compliance with conditions imposed by the Integrity Panel is the responsibility of the individual, their People Leader and relevant Senior Executive. The department's declarations and conflict of interest processes are used to support ongoing management and evidence of compliance.
NOT ENDORSED	Refused Integrity Clearance	The person's screening check results returned information that presents a risk to NSW Resources that cannot be mitigated or managed through conditions of employment. As a result, integrity clearance is refused, and employment cannot be offered or continued.

Recruitment – conditional offer of employment (by exception)

By exception only, a hiring manager may request approval to make a recruitment-conditional offer of employment to a preferred recruitment candidate before integrity clearance screening is complete. This option is not available for roles designated as 'high-risk'.

Requests must be submitted to the Integrity Officer and include the candidate's name, role title, résumé, clear justification, and Executive Director's approval. The Integrity Officer will submit the request to the Integrity Panel, which will determine whether to support or not support the request.

Where a request is supported, correspondence to the candidate must clearly state that employment is conditional on satisfactory completion of integrity clearance screening and a decision of the Integrity Panel.

Procedural fairness

Integrity clearance decisions are administrative decisions and will be made in accordance with the principles of procedural fairness.

This includes that individuals:

- are informed of relevant screening outcomes that may affect their suitability;
- are given a reasonable opportunity to respond to adverse information before a final decision is made;
- have their information assessed in context, including its relevance, reliability and currency;
- are subject to decisions made impartially, without bias, and appropriately documented;
- are advised of the outcome and may request a review of the decision.

Information obtained through integrity screening is not assessed in isolation and does not automatically determine an outcome. Decisions are made having regard to the inherent requirements of the role and principles of proportionality.

Procedural fairness requirements are applied proportionately, having regard to the nature of the role and the level of integrity risk. The review process, including governance arrangements and timeframes, is set out in the Integrity Panel terms of reference.

Roles and responsibilities

- Employees are required to comply with this policy and all other applicable departmental policies and to act consistently with the Department's Code of Ethics and Conduct. Employees should seek advice from their People Leader or relevant subject matter experts if they are unsure of their obligations.
- The NSW Resources Integrity Panel is responsible for making integrity clearance decisions and is the final approver of integrity clearances under this policy.
- By exception, the NSW Resources Deputy Secretary may make the final decision where required.
- Reviews of integrity clearance decisions are conducted by two Senior Executives, independent of the original decision, in accordance with this policy and the Integrity Panel Terms of Reference.
- The Integrity Officer is responsible for managing the integrity clearance process in accordance with this policy, including coordinating screening activities and supporting decision-making and review processes.

Contracted employment screening provider

Integrity clearance screening checks are conducted through a NSW Treasury-approved employment screening provider engaged under a whole-of-government arrangement for employment checks. The provider operates under a mandatory contractual arrangement administered by the Department of Primary Industries and Regional Development.

The contracted provider collects and processes personal information for the purpose of conducting integrity screening checks and is required, under contract and applicable law, to implement appropriate security, privacy and information-handling safeguards, including compliance with the *Australian Privacy Principles and the Privacy Act 1988* (Cth).

The contracted provider provides screening reports to NSW Resources to support integrity clearance decision-making and provides individuals with access to their own screening reports in accordance with applicable privacy and regulatory requirements.

Further information regarding the provider's accreditation, information-handling practices and privacy safeguards is provided in Appendix B.

Handling of integrity screening information by NSW Resources

NSW Resources receives screening outcomes and reports from the contracted employment screening provider that contain personal information necessary to support integrity clearance decisions, such as an individual's name (including previous names where relevant), date of birth, address and the results of screening checks.

NSW Resources does not receive copies of identity documents submitted to the provider or issuing authorities for the purposes of integrity clearance screening.

Screening information held by NSW Resources is stored in the Department's records management system and is accessible only to authorised officers involved in the integrity clearance process, including the Integrity Officer and members of the Integrity Panel.

NSW Resources remains responsible under the *Privacy and Personal Information Protection Act 1998* (NSW) for how personal information is handled within the Department, including personal information received from the contracted provider.

Screening information held by NSW Resources is managed in accordance with applicable privacy, records management and information-handling requirements.

Legislative and policy framework

This policy is supported by NSW employment and privacy legislation. These laws authorise integrity screening and establish safeguards to protect staff rights when screening is undertaken.

Government Sector Employment Act 2013

Under section 54 of the GSE Act, NSW Resources may impose conditions of engagement, including integrity and other clearances, where they are relevant to the role and notified at the time of engagement.

The GSE Act also establishes the government sector employment principles and ethical framework (including sections 7 and 8A), which require that employment decisions are based on merit and that employees act with integrity, honesty and in the public interest.

Integrity screening provides a lawful mechanism to:

- assess a person's suitability for appointment; and
- support ongoing confidence in the integrity of the workforce.

This supports NSW Resources' responsibilities under the GSE Act to make suitable and trustworthy appointments, protect public trust, and manage integrity risks across the employment lifecycle. Integrity screening operates as a preventative and assurance-based control, rather than as a disciplinary or enforcement mechanism.

Government Sector Employment (General) Rules 2014

Rule 8 of the GSE Rules ('Security and other clearances') gives effect to section 54 of the GSE Act by providing that:

- agencies may require clearances as a condition of engagement, and
- employees must comply with, and maintain, those clearances for the duration of their employment.

This provides the operational basis for requiring and maintaining integrity screening clearances under this policy.

In addition, the GSE Rules allow employment to be made subject to other role-related requirements determined by the employer, including requirements to hold and evidence qualifications where necessary to perform the duties of a role (Rule 7 – ‘Formal qualifications’).

Government Sector Employment Regulation 2014

The GSE Regulation prescribes statutory reporting obligations relevant to ongoing employment, integrity screening and clearance decisions.

In particular, the GSE Regulation requires public service employees to:

- report charges or convictions for serious offences (offences punishable by imprisonment for 12 months or more) (clause 9), and
- report bankruptcy or related financial arrangements (clause 10).

These obligations apply to employees once engaged and operate independently of this policy. Integrity screening does not replace or enforce these obligations. Rather, it complements them by providing a lawful mechanism to verify information relevant to assessing suitability for appointment and identifying and managing ongoing integrity risks in designated roles.

Privacy and Personal Information Protection Act 1998

All integrity screening activities are undertaken in accordance with the PPIP Act, which governs how personal information is collected, used, stored and disclosed.

This means that:

- personal information is collected lawfully and only where necessary for the purpose of screening;
- information is handled securely and confidentially;
- individuals are informed about the purpose of collection and how their information will be used;
- individuals have the right to access and correct their personal information;
- NSW Resources only receives screening outcomes, not identity documents;
- information is retained only for as long as required and then securely disposed of in line with legislative and record management obligations.

References and resources

- [Government Sector Employment Act 2013 No 40 \(NSW\)](#)
- [Government Sector Employment \(General\) Rules 2014 \(NSW\)](#)
- [Government Sector Employment Regulation 2014 \(NSW\)](#)
- [Pre-employment screening checks | NSW Public Service Commission](#)
- [Public Service Commission Ethical Framework](#)
- [Work Health and Safety \(Mines and Petroleum Sites\) Act 2013](#)
- [Australia Standard - AS 4811:2022 Workforce Screening](#)

- NSW Resources Integrity Panel Terms of Reference
- DPIRD (PSC) Code of Ethics and Conduct
- Australian Criminal Intelligence Commission
- ACIC Accredited Bodies (Nationally Coordinated Criminal History Checks)
- Australian Federal Police (National Police Check)
- NSW Police Force (National Police Check):
 - Community Portal
 - Service NSW
- Contracted employment screening provider – privacy and security information (for general information only)

Contact

Director Governance & Operations or NSWResources.Integrity@dpird.nsw.gov.au

Table 3: Document revision history

Version	CM Reference	Revisions	Date	By
1.3	RDOC/25	Updated to reflect adoption across MEG and refined screening activities	18.08.2023	Lisa Player
2	D25/62986	Full review	16.07.2025	Tara Davis
3	D26/57414	Updated to reflect consultation outcomes	30.04.2026	Donata Ryan
3.1	D26/150036	Minor amendments to screening processes and exemptions	11.09.2026	ED-BOP

Appendix A – Integrity screening checks: description and identity documentation

Table A-1: Integrity screening checks – description and id documentation

Screening check (policy name)	Description	ID documentation required?
General and Conflicts of Interest Declaration	A self-declaration completed by the individual providing relevant information, including any criminal history, bankruptcy, and actual, potential, or perceived conflicts of interest.	No
National Criminal History Check	A national search of Australian police records to identify disclosable court outcomes and pending charges. Results are based on information that can be legally released and may not include all offences. This check is conducted via an Australian Criminal Intelligence Commission (ACIC)-accredited process through the contracted provider (referred to by the provider as a <i>Nationally Coordinated Criminal History Check</i>). Individuals undergoing re-screening may, where permitted, provide an equivalent <i>National Police Check</i> obtained directly through an authorised police agency, subject to verification requirements.	Individuals are required to provide personal identity documentation to the relevant issuing authority or the contracted provider to enable verification of identity for the purposes of a National Criminal History Check. Identity requirements are set by the issuing authority or ACIC accreditation standards and may vary depending on the pathway used. Further information about acceptable identity documentation is available on the relevant authority's website. Fingerprinting is not required for National Criminal History Checks conducted under this policy.
Credit Default Check	A search of publicly available court records to identify credit-related legal actions, including unpaid debts that have resulted in a court judgment. Information may include the parties involved, type of action, amount, and date lodged. This check is referred to by the contracted employment screening provider as a <i>Credit Default Check (Public Records Search)</i>.	No
Bankruptcy Check	A check of the National Personal Insolvency Index to identify whether an	No

Screening check (policy name)	Description	ID documentation required?
	individual is currently, or has previously been, subject to bankruptcy or other insolvency proceedings. Information is sourced from the Australian Financial Security Authority and may be relevant to assessing suitability for certain roles, particularly those involving financial responsibility, decision-making authority, or positions of trust. This check is conducted using publicly available records and does not require individuals to provide financial account details or other sensitive financial information. This check is referred to by the contracted employment screening provider as <i>Bankruptcy</i>.	
Business Interests Check	A search of records maintained by the Australian Securities and Investments Commission to identify an individual's current and past directorships. Information may include company names, positions held, and dates of appointment. This information may indicate involvement in other businesses that could give rise to an actual, potential or perceived conflicts of interest. This check is referred to by the contracted employment screening provider as a <i>Business Interests Check (Directorships)</i>.	No
Adverse Media Check	A search of publicly available media and online sources to identify information that may present reputational or integrity risks. This includes coverage across a broad range of news, industry publications, and online content sources. This check is referred to by the contracted employment screening	No

Screening check (policy name)	Description	ID documentation required?
	provider as a <i>Global Media Search</i> (<i>Adverse Media</i>).	
Qualifications Check (where required)	Verification of an individual's claimed qualifications or certifications directly with the issuing institution. Information may include the qualification obtained, issuing organisation, and date of completion. This check is referred to by the contracted employment screening provider as a <i>Qualification Check</i>.	No

Appendix B – Contracted employment screening provider: accreditation, security and privacy

Accreditation and authority

The contracted employment screening provider engaged under the whole-of-government employment checks arrangement is required to hold appropriate accreditations and authorisations relevant to the screening services it provides. This includes accreditation by the Australian Criminal Intelligence Commission (ACIC) to submit Nationally Coordinated Criminal History Checks through the National Police Checking Service.

Security and information protection

The contracted provider is subject to NSW Government vendor risk assessment and contract management processes and is required, under contract, to maintain appropriate security controls to protect personal information. These controls include secure transmission and storage of data, restricted access to information, and defined data-retention and secure-disposal practices aligned with contractual and legal requirements.

The provider is required to maintain recognised information-security certifications, such as ISO27001, and is subject to ongoing oversight through NSW Government contract management arrangements.

Information handling and privacy safeguards

The contracted employment screening provider collects and processes personal information solely for the purpose of conducting employment screening checks and in accordance with contractual requirements.

The provider is required to implement safeguards to protect personal information, including controls relating to secure handling, limited access, and appropriate retention and disposal. These safeguards are subject to NSW Government vendor risk assessment and contract management processes.

Individuals may seek access to, or correction of, personal information held by the provider in accordance with applicable privacy laws and the provider's published privacy policy.

Use of technology

The contracted employment screening provider may use automated tools, including artificial intelligence, to support administrative efficiency in screening processes. Screening checks are not conducted or completed solely through automated decision-making. Screening outcomes are reviewed by authorised personnel before being provided to NSW Resources for integrity clearance decision-making in accordance with this policy.

Data retention and disposal

The contracted employment screening provider retains personal information only for as long as required to meet contractual, legal and regulatory obligations, including obligations associated with Nationally Coordinated Criminal History Checks.

Where permitted by law, individuals may request that personal information held by the provider be deleted or de-identified. Such requests are assessed by the provider in accordance with applicable legal and regulatory requirements. Personal information that is no longer required is securely disposed of in accordance with contractual and legal requirements.

Further information

Further information about how personal information is handled by the contracted provider, including privacy practices, security measures and individual rights, is available in the provider's published privacy information.

This information is provided for general reference only and does not replace the obligations set out in this policy or applicable legislation.