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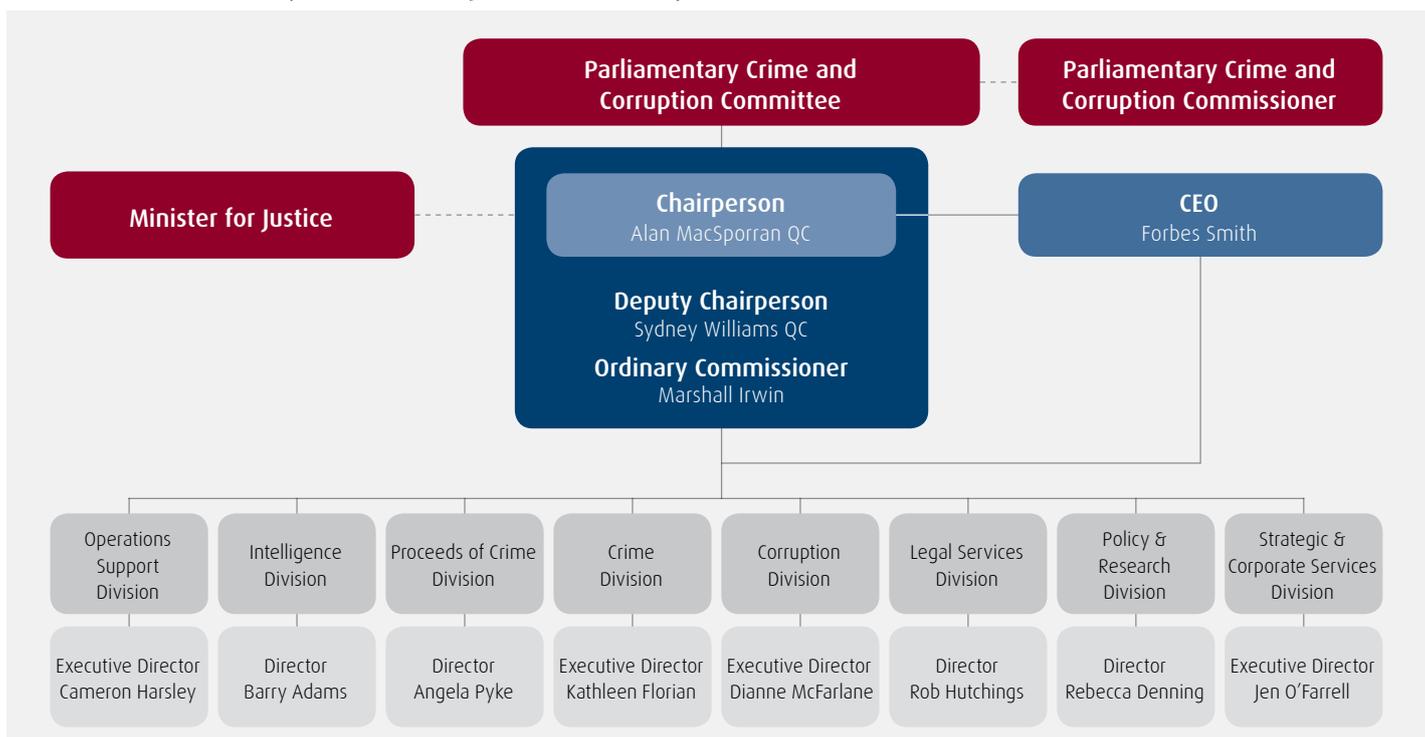
*our people
& governance*

The work of the CCC is delivered by professional staff within a strong governance framework of compliance, underpinned by a set of shared values.

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Our people

CCC structure (as at 30 June 2016)



Our governing body

The Commission consists of the following commissioners:

- a full-time commissioner who is the chairperson
- a part-time commissioner who is the deputy chairperson
- three part-time commissioners who are ordinary commissioners.

Table 13 details the Commissioners who served on the Commission in this reporting period.

In May 2016, an amendment to the Crime and Corruption Act removed the CEO as a Commissioner to better align the CCC with conventional corporate governance structures. This change, together with the conclusion of one Ordinary Commissioner's term, meant that a bare quorum of the Commission was in place at the end of the 2015–16 financial year.

As the CCC's governing body the Commission is responsible for:

- setting the strategic direction of the organisation and approving its strategic plan

- monitoring the performance, operational results and effectiveness of CCC management
- establishing internal management committees and their charters, considering their reports and reviewing their performance, responsibilities and utility
- preparing the internal audit charter in compliance with the *Financial Accountability Act 2009*.

Under our Act, the Chairperson has specific responsibilities for ensuring the proper performance of the CCC's functions, while the CEO is responsible to the Commission for administering the agency. The Commission's financial functions are also delegated to the CEO.

The Commission meets monthly to monitor the overall performance and effectiveness of the agency and consider matters of corporate significance. Ex officio members may attend meetings but do not have voting rights. In 2015–16, 12 Commission meetings were held, and the Commission met with the PCCC four times.

Table 13. Commission meetings from 1 July 2015 to 30 June 2016

Commissioner	Position	Meetings attended	
		Ordinary meetings	PCCC meetings
Mr Alan MacSporran QC	Chairperson	10	4
Mr Sydney Williams QC	Deputy Chairperson	11	4
Mr Marshall Irwin ¹	Ordinary Commissioner	6	2
Ms Ann Gummow ²	Acting Chairperson	2	0
Mr David Kent QC ³	Acting Ordinary Commissioner	4	2
Ms Soraya Ryan ⁴	Acting Ordinary Commissioner	4	2
Ms Noela L'Estrange ⁵	Acting Ordinary Commissioner	3	0
Ex officio members			
Mr Forbes Smith ⁶	Chief Executive Officer	7	2
Ms Kathleen Florian ⁷	Executive Director, Crime	9	4
Ms Dianne McFarlane	Executive Director, Corruption	9	2
Mr Cameron Harsley APM ⁸	Executive Director, Operations Support	9	0
Ms Jen O'Farrell	Executive Director, Strategy & Corporate Services	11	0
Mr Michael Scott ⁹	Acting Executive Director, Crime	7	2
Mr Paxton Booth ¹⁰	Acting Executive Director, Corruption	3	2
Mr Maurice Carless APM ¹¹	Executive Director, Operations Support	3	0
Ms Angela Pyke	Director, Financial Investigations	0	3

Notes:

1. Mr Irwin was Acting Ordinary Commissioner from 1 December 2015 to 29 February 2016. His appointment as Ordinary Commissioner commenced on 1 March 2016.
2. Ms Gummow was Acting Chairperson from 1 July 2015 to 31 August 2015.
3. Mr Kent's acting appointment was from 1 July 2015 to 30 November 2015.
4. Ms Ryan's acting appointment was from 1 July 2015 to 30 November 2015.
5. Ms L'Estrange's acting appointment was from 1 December 2015 to 26 February 2016.
6. Mr Smith was appointed on 1 January 2016 and was a member of the Commission until the enactment of the *Crime and Commission Amendment Act 2016* on 5 May 2016.
7. Ms Florian's acting appointment as CEO concluded on 31 December 2015; as CEO she attended five Commission meetings and two PCCC meetings.
8. Mr Harsley commenced as Director, Operations Support on 12 October 2015.
9. Mr Scott attended meetings as Acting Executive Director, Crime between 1 July 2015 and 14 January 2016.
10. Mr Booth attended meetings as Acting Executive Director, Corruption between 7 September 2015 and 4 December 2015.
11. Mr Carless's term as Director, Operations Support commenced on 5 May 2014 and concluded on 9 October 2015.

Appointment criteria for Commissioners

The Crime and Corruption Act 2001 requires that the CCC Chairperson and Deputy Chairperson must have served as, or are qualified to serve as, a judge of the Supreme Court of any state, the High Court or the Federal Court. The Act also requires that Ordinary Commissioners must have the qualifications, experience or standing appropriate to help the Commission perform its functions.

Commissioners are appointed by the Governor-in-Council for a maximum of five years, with the provision of a further five-year re-appointment as long as the person does not hold that office for more than ten years in total. The Governor-in-Council may appoint an acting Chairperson or temporary part-time Commissioner during a period of absence or when there is a temporary vacancy in the role. The Chairperson may appoint for a temporary period a sessional commissioner to conduct hearings, examine witnesses, or undertake specific investigations relevant to the Commission's functions.

Appointment criteria for the Chief Executive Officer

The Chief Executive Officer is appointed by the Governor-in-Council for a maximum of five years with the provision of renewal for a further five years, with no more than ten years in total. To qualify under the Act for appointment as the Chief Executive Officer the person must have qualifications, experience or standing appropriate to perform the functions of the Chief Executive Officer.



Executive Leadership Group

The Executive Leadership Group (ELG) is made up of the Chairperson, CEO, Executive Directors and Directors who are heads of Divisions.

The responsibilities of the ELG include, but are not limited to:

- communicating on all matters relevant to the conduct of their respective executive roles
- discussing high-level policy and strategic issues
- overseeing and monitoring the CCC's financial performance and budget processes, including significant financial transactions
- ensuring consistency of policies and practices across the functional areas of the CCC

- identifying material resourcing, communication, cultural or other organisational issues which may require reference to any other body or group within the CCC for consideration
- analysing exposure to risk and, if required, referring matters to the Audit and Risk Management Committee to determine how best to handle such exposure
- providing executive advice and support to the Chairperson and CEO, and such other functions as are determined from time to time by the Chairperson or CEO.

Chief Executive Officer



Forbes Smith Chief Executive Officer

LLB (admitted as a barrister-at-law in 1981)

Appointed on 1 January 2016

Forbes has significant experience in executive leadership and management in Queensland's accountability agencies.

Before coming to the CCC as Chief Executive Officer, Forbes was Queensland's Energy and Water Ombudsman from 2011 to 2015, and prior to that he was the state's Deputy Parliamentary Ombudsman. In those roles he led executive teams and was responsible for organisational strategy and direction, and for monitoring the financial and non-financial performance of those agencies.

Forbes has an extensive background in the investigation of corruption and organised crime. He worked as an investigator/lawyer with the Fitzgerald Inquiry (1987-89), and this role was followed by senior investigative and executive positions with the CJC, the CMC and the National Crime Authority in Melbourne.

As Queensland's first Chief Inspector of Prisons (2005-06), he led investigations into serious incidents such as deaths in custody, and reported on the treatment of prisoners and compliance by officials with their statutory and procedural obligations.

Forbes has a Bachelor of Laws from the University of Queensland and was admitted as a Barrister of the Supreme Court of Queensland in 1981.

Executive Directors



Kathleen Florian

Executive Director, Crime

LLB (Hons) (admitted as a barrister in the Supreme Court of Queensland in 1992)

Appointed on 9 January 2012

Kath is an organised-crime specialist with 28 years experience in criminal law and the investigation of serious and organised crime at national and state level.

Kath commenced her career with the Queensland Director of Prosecutions in 1988 before joining the National Crime Authority in 1993. She stayed on with the Australian Crime Commission when it was established in 2003, and from 2009 headed the agency's operations in Queensland until joining the CCC in 2012.

As Executive Director, Crime at the CCC, Kath leads a multidisciplinary team of lawyers, police and administrative staff who are responsible for investigating the most serious crime in Queensland.



Dianne McFarlane

Executive Director, Corruption

BA, LLB

Appointed on 15 September 2014

As Executive Director, Corruption Dianne is responsible for the Corruption function. She has had 15 years experience with the CCC, with eight of those in Corruption.

Dianne was the CCC's acting CEO from September 2014 to June 2015 and was actively involved in the transition of the CMC to the CCC.

Before joining the CCC, Dianne was Director, Human Resources at Queensland Corrections, an appointment that followed ten years primarily in the airline industry as an industrial advocate for Qantas and Ansett Airlines across NSW, Victoria and Western Australia.

Executive Directors



Cameron Harsley APM

Detective Chief Superintendent, QPS
Executive Director, Operations Support

Appointed on 12 October 2015

Cameron is responsible for the CCC's Operations Support Unit. This includes witness protection, technical surveillance, physical surveillance and forensic computing. He has worked on a number of significant government reforms in the area of child protection and social services. Cameron has also worked at executive level within a number of agencies including the Department of Child Safety, the Commission for Children and Young People and the QPS.

For many years Cameron served as an independent member of the State's Child Death Review Committee, focused on systemic reform.

Most recently Cameron was appointed by the Queensland Government as an Independent Advisor to the Commissioner of the Queensland Family and Child Commission.



Jen O'Farrell

Executive Director, Strategy
and Corporate Services

**LLB (Hons), BBus, BCom (admitted as a solicitor
in the Supreme Court of Queensland in 2008)**

Appointed on 13 July 2015

Jen is responsible for leading the Strategic and Corporate Services division in providing performance reporting, governance, financial management, business systems support, security, ICT, facilities and procurement services.

Before commencing at the CCC, Jen assisted the Commission of Inquiry into the regulation of the Queensland Greyhound Racing Industry as the Commission's Executive Director. This role allowed her to combine her experience in law, risk management, corporate governance, workforce management and organisational strategy.

She gained this experience through more than 15 years in both the public and private sectors, including as General Manager, Strategy and Renewal and Director, Legal Services at the Department of Transport and Main Roads, and as a solicitor with Corrs Chambers Westgarth lawyers.

Directors

Barry Adams

Director, Intelligence

G.Cert Applied Management (Intelligence)

Appointed on 23 November 2012

Barry is responsible for the CCC's Intelligence function which supports investigations through intelligence gathering and analysis.

Barry has over 30 years experience in law enforcement and intelligence having worked with the Australian Customs Service, National Crime Authority and the Australian Crime Commission.

Dr Rebecca Denning

Director, Policy and Research

Bachelor of Criminology & Criminal Justice (Hons), PhD

Appointed on 17 February 2012

As Director, Policy and Research, Rebecca is responsible for generating evidence to support the proper performance of CCC functions, inform policy development and guide reform.

Rebecca has extensive government policy and research experience, having worked in State and Commonwealth agencies, predominantly in the criminal justice sector. She has held senior roles in academia, most recently as the Associate Director of the Australian Research Council Centre of Excellence in Policing and Security.

Rob Hutchings

Director, Legal Services

LLB (admitted as a solicitor in the Supreme Court of Queensland in 1994)

Appointed on 26 April 2012

As Director of Legal Services Rob provides high-level legal advice to the Chairperson, CEO and the Commission. He is responsible for four teams within the Legal Services Division — Corruption, Litigation, General Legal and Telecommunications.

Before joining the CCC Rob worked for Crown Law in various roles including commercial litigation and constitutional advice. He has provided legal services to the Queensland public sector for 20 years.

Angela Pyke

Director, Financial Investigations

BCom (Acctg), CPA

Appointed on 18 March 2013

Angela has had 16 years experience in law enforcement as a financial investigator working for the QCC, the Australian Crime Commission and the CCC.

As Director, Financial Investigations Angela has responsibility for the financial investigation discipline across the CCC including the administration of the civil confiscation regime and the serious drug offender confiscation order scheme for Queensland.

Staff profile

The CCC employs a diverse mix of professionals including lawyers, accountants, investigators, intelligence analysts and support officers, and seconded a cohort of police officers from the QPS. As at 30 June 2016, its workforce equated to 342.2 full-time equivalent staff. Compared with 30 June 2015, our full-time equivalents (FTEs) have increased by 5.6 FTEs.

Of our permanent staff, 88 are employed under the Queensland Public Service Officers and Other Employees Award — State 2015, with the balance employed under written contracts of employment. Staff covered by the award are generally employed at the Administrative Officer 1–5 levels and equivalents (with limited exceptions).

Our award staff are covered by an enterprise bargaining agreement, the *State Government Entities Certified Agreement 2015*, which has a nominal expiry date of 31 August 2018.

The CCC understands that a flexible workforce creates a stronger workforce capacity and improved capabilities and as such, staff may be required to work in different areas across the CCC during their period of employment.

The CCC also employs the services of contractors and consultants to assist with specific programs of work such as our long-term strategic ICT projects and external legal advice. Further information on our consultants can be found at <www.data.qld.gov.au>

Table 14. Full-time equivalents by division

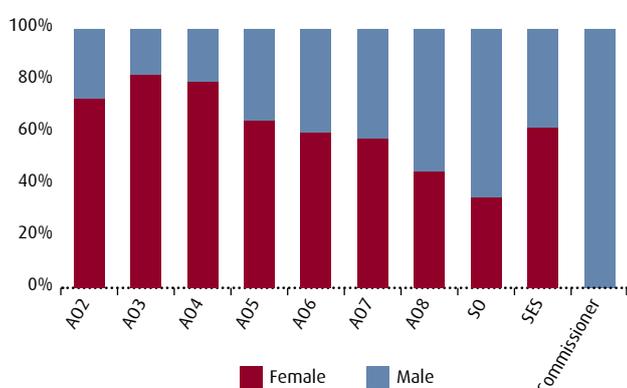
Division	Full-time equivalent
Corruption	75.5
Crime	45.0
Intelligence	27.8
Legal Services	16.6
Office of the Commission	7.0
Operations Support	54.0
Policy and Research	12.0
Proceeds of Crime	25.7
Strategic and Corporate Services	67.8
Various (casual employees)	10.8
Total	342.2

Note: Full-time equivalent refers to all permanent, temporary and casual staff.

Workforce composition

Women comprise 63.1 per cent of our permanent, non-police workforce. They fill 47.4 per cent of all positions at and above AO7 and equivalent classifications, and 42.9 per cent at the senior executive levels (which include Senior Executive Staff and Commissioners, see Figure 6). Of our permanent, non-police workforce, 45.2 per cent of staff are aged 45 years and over, and 15.2 per cent are aged 55 years and over.

Figure 6. Profile of classification by gender (permanent staff only)



Notes:

1. AO data ranges include equivalent classifications.
2. Salaries range from \$44,193 (AO2) to \$212,291 (SES).
3. The appointment of the Chairperson and one Ordinary Commissioner were the only permanent Commissioner appointments in 2015–16.

Retention

This year our permanent employee retention rate was 91.24 per cent (compared with 93.84 per cent last year). Our permanent employee separation rate was marginally higher at 8.76 per cent, up on last year's 5.94 per cent, largely due to an increase in retirements of long-serving employees. Our separation rate excludes the separation of seconded police officers who returned to the QPS at the conclusion of their secondment.

We are unable to compare this with the public service annual separations because the Public Service Commission provides quarterly figures based on separations from the public service as a whole and not on separations from individual public sector agencies. By contrast, the CCC counts as a separation any permanent or contracted staff member leaving the agency, whether or not the person moves to another public sector agency.

The CCC's long service rate is high, with 31.8 per cent of our permanent staff having ten or more years' service and a further 35.5 per cent of staff having five or more years' service.

Early retirement, redundancy and retrenchment

No redundancy, early retirement or retrenchment packages were paid during the period.

Workforce planning: CCC People and Culture Strategy 2016–20

People are our most important asset, and we are committed to ensuring we have a talented, aligned workforce which focuses on developing people as individuals, as teams, and as one organisation – 1CCC. To support this, in 2015–16 the CCC developed a long-term *People and Culture Strategy 2016-2020* focused on developing the CCC's talent by:

- identifying capability need
- designing high-impact learning solutions and
- supporting managers and team leaders on a day-to-day basis.

Significant consultation with our employees informed the development of the *People and Culture Strategy 2016–2020*. A series of employee consultation workshops were facilitated in March 2016, with more than 180 staff attending to provide feedback about our current workplace challenges, our values and our internal communication methods. As a result of these workshops, in 2016 the CCC defined its organisational values as: People, Accountability, Integrity, Courage and Excellence.

For the first time in 2016 the CCC participated in the Working for Queensland Employee Opinion Survey, the annual survey run within the wider Queensland public service that measures and monitors employees' perceptions of their work, their manager, their team and their

Table 15. Equity and diversity measures

Group	Percentage of permanent staff
Women	63.1
Men	36.9
Aboriginals and Torres Strait Islanders	0.9*
People with a disability	2.3*
People from non-English-speaking backgrounds	10.1*

* Data based on employees who have voluntarily disclosed this information to the Commission.

organisation. Eighty-five per cent of employees participated in the survey. The results have also informed the development of strategies contained in the People and Culture Strategy.

Looking forward, in 2016–17 we will focus on developing our organisational culture, workforce mobility, leadership capability and employee engagement.

Induction

The CCC understands the importance of staff inductions in assisting new staff, including our Commissioners, with their understanding of the agency and their roles and responsibilities under the Crime and Corruption Act and other guiding legislation.

On commencement, staff are provided with a first-day induction that covers the role and values of the CCC and our functions and powers under our Act, other key legislation, security, information technology and an orientation of our intranet and online training programs. New staff are required to undertake a further online induction training program containing additional information about their employment and the legislative procedural framework they will be working under.

Attracting and developing our staff

Professional and personal development

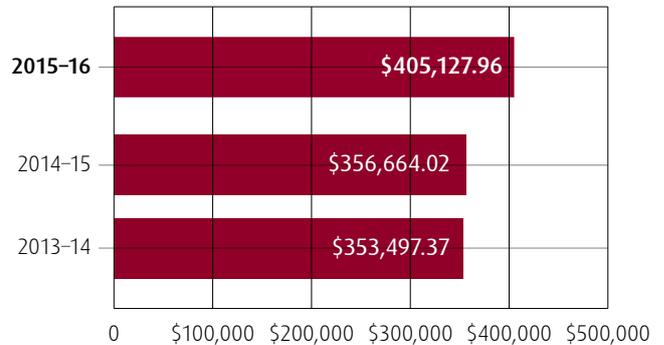
The CCC offers employees professional and developmental experience and support. This year the CCC helped 27 staff to undertake tertiary study by granting study leave and providing financial assistance toward course fees. Courses being undertaken by our staff include Masters of Investigations, Bachelor of Justice, Bachelor of Business, and certified practising accountant/chartered accountant programs.

To ensure that specialist staff maintain and enhance their skills, they were given opportunities to attend a range of workshops, seminars and conferences. This year, 16 staff were funded to complete a Certificate IV in Government Investigations.

To assist staff with their ongoing professional development and engagement, we reimbursed 37 staff between 50–100 per cent of their professional membership fees.

The CCC spent just over \$400,000 on dedicated training and development-related activity for permanent and temporary staff, with an average spend of \$1,200 per employee. This was an increase on previous years, largely due to the completion of the Certificate IV in Government Investigations during the year.

Figure 7. Training expenditure for developing CCC staff



eLearning

This year, organisation-wide training focused on developing a number of eLearning courses as part of the CCC’s compulsory training program. New modules rolled out to relevant employees included “Managing Acquired Property” and “Information and Communication Technology (ICT) Awareness”.

Achievement and capability planning framework

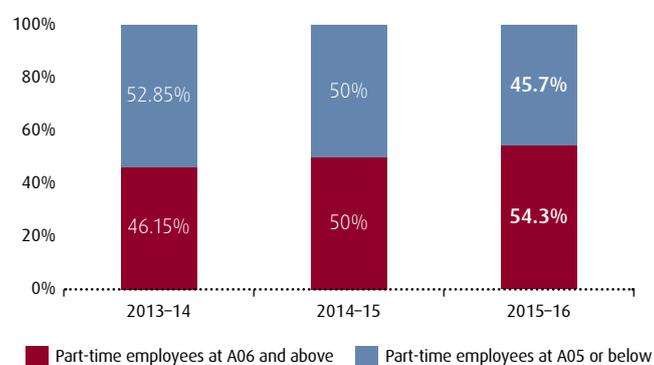
To promote workplace productivity and a performance-based culture, the CCC maintains an Achievement and Capability Planning (ACP) framework. The ACP framework is specifically structured to align individual effort and development opportunities with corporate and business objectives, thereby contributing in a strategic and economical way to a highly skilled and flexible workforce. As part of the ACP process, staff conduct is monitored and assessed against the requirements of the CCC’s Code of Conduct.

Promoting staff wellness

The CCC supports flexible work practices that help staff balance their work and home lives. Our flexible working arrangements incorporate options such as part-time work, flexible start and finish times, access to accrued time off, compressed working arrangements and flexible leave options, including “purchasing” additional leave through salary averaging.

In the period, part-time work arrangements were in place for 35 (16.2 per cent) of our permanent, non-police staff. Of these staff, 45.7 per cent are at or below A05 (and equivalent), while 54.3 per cent are at or above A06 (and equivalent).

Figure 8. Classification of CCC staff with part-time arrangements



To demonstrate support for the Queensland Government’s commitment to eliminating domestic violence and supporting members of our community who are affected by it, the CCC now supports up to 10 days paid leave per year for employees affected by domestic or family violence.

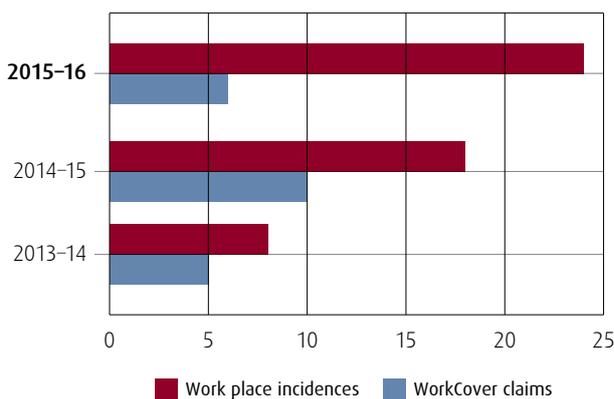
The CCC engages an employee assistance provider to ensure that staff have access to confidential professional counselling services that can be used for personal or work-related concerns affecting them or their family members.

As part of the CCC Staff Wellness Program, 165 staff used the CCC-funded corporate flu vaccination program.

The CCC maintains a comprehensive workplace health and safety (WH&S) program consistent with the *Work Health and Safety Act 2011*. This year the CCC’s WH&S committee members undertook specific training to enable committee members to identify and implement the legislative functions of the committee, and to participate effectively in committee duties.

In 2015–16, the CCC had 24 reported workplace health and safety incidents and 6 WorkCover claims. The CCC also provided rehabilitation and return-to-work programs for staff where required.

Figure 9. Workplace incidents and WorkCover claims for CCC staff



CCC Consultative Forum

The Consultative Forum provides an opportunity for a cross-organisational communication and consultation process between CCC staff and management in relation to matters of concern or for promoting issues for the benefit of CCC staff. During 2015–16 the forum considered matters related to the core enterprise bargaining agreement, flexible working hours, staff climate survey and workstation options.

Community engagement

Queensland Legal Walk

In May 2016, 37 CCC staff joined some 700 members of the Brisbane legal community on an early morning five-kilometre walk. A thousand people from across the state participated, raising over \$82,000. The CCC team were the second-highest fundraising team with a total of \$4548. Funds raised went towards assisting the Queensland Public Interest Law Clearing House (QPILCH) in providing free legal services to vulnerable members of the Queensland community.



CCC staff at the QPILCH walk

NAIDOC Week

The CCC held a number of activities during NAIDOC Week in July 2015 to celebrate the history and diversity of Aboriginal and Torres Strait Islander cultures. Activities included a formal morning tea with Elders from the Brisbane Region who spoke to CCC staff about the 2015 NAIDOC theme *We all Stand on Sacred Ground: Learn, Respect and Celebrate*, highlighting the Aboriginal and Torres Strait Islander peoples' strong spiritual and cultural connection to land and sea.

The CCC also attended the Musgrave Park Family Fun Day, holding a stall which provided information on the CCC and the services we provide for the Aboriginal and Torres Strait Islander people of Queensland.

During NAIDOC Week our staff collected donations for the Elders who reside at the Woolloongabba Medical Centre. Donations were presented to the Elders at the CCC NAIDOC morning tea.



NAIDOC Week

Governance

Our governance framework guides us to achieve our purpose, comply with all relevant laws and policies, meet public expectations of integrity, accountability and transparency and evaluate and report on the work we do.

Strategic planning

The CCC continued operating under its Strategic Plan 2014–18. As part of the annual strategic planning process, the CCC reconfirmed its strategic objectives to ensure that the agency remains responsive to emerging issues and challenges. From our strategic plan, we develop an annual operational plan that identifies the high-level, agency-wide activities to be undertaken in the coming year to help achieve our strategic objectives. The Operational Plan 2015–16 aligned core strategies to specific activities and outlined key performance indicators. In developing these plans the agency considered its key risks.

Table 16. Membership of the Audit and Risk Management Committee

Name	Position	Meetings attended
Mr Peter Dowling AM ¹	Chair (external)	4
Mr Mike Meintjes ¹	External member	4
Mr Forbes Smith ²	CEO	4
Ms Jen O'Farrell	Executive Director, Strategy and Corporate Services	4
Ms Kathleen Florian ³	A/CEO	1
Ms Angela Pyke	Director, Financial Investigations (Proceeds of Crime)	3
Mr Gary Adams ⁴	Manager, Corporate Governance	1
Ex officio members:		
Ms Ann Gummow	Chairperson (Acting)	1
Mr Alan MacSporran ⁵	Chairperson	3
Invitees:		
Mr Brendan Clark	CCC Internal Auditor	3

1. Mr Dowling and Mr Meintjes were remunerated \$8,800 and \$5,500 respectively.

2. Mr Smith was appointed as CEO on 1 January 2016.

3. Ms Florian's acting appointment as CEO concluded on 31 December 2015.

4. It was agreed at the Commission meeting of 1 January 2016 that Ms O'Farrell would replace Mr Adams as a member of the committee.

5. Mr MacSporran was appointed Chairperson on 1 September 2015.

Audit and risk management

Audit and Risk Management Committee

The Audit and Risk Management Committee (ARMC) is a five-person committee consisting of one CCC Commissioner and two external members, one of whom is the Chair (see Table 16). The CCC Internal Auditor and representatives from the QAO have standing invitations to attend committee meetings. The committee observes the terms of its charter and has due regard to Queensland Treasury's Audit Committee Guidelines.

During 2015–16 the committee had oversight of:

- the integrity of the CCC's financial statements and internal controls
- compliance with legislative and regulatory requirements
- internal risk management process
- fraud and corruption control systems
- the performance of the internal audit function.

Risk management framework

The CCC recognises that risk management is pivotal for effective governance and decision-making across all levels of the agency. Risk management within the CCC is managed in accordance with the *Financial Accountability Act 2009* and in alignment with international standards (specifically, AS/NZS ISO 31000:2009).

Given that many of our activities attract inherently high risks the CCC is committed to continuous improvement in this area. In 2015–16 the CCC commenced a risk management reform project to align business processes with an integrated model of risk management and to foster a stronger organisational culture of risk awareness. As part of this project, a CCC Risk Appetite Statement was adopted to articulate the agency's appetite and tolerance for key areas of risk. For example, the CCC promotes considered risk when there is a high degree of confidence that controls are in place to minimise the likelihood of adverse consequences (including preventable and unforeseen harm to Queenslanders), and where there is a high likelihood of capturing expected and considered benefits.

The CCC's risk registers are independently managed by each divisional business area and are centrally reported to the Audit and Risk Management Committee to ensure that appropriate risk treatments and management plans are in place. Risk management mechanisms are regularly audited by the internal auditor, and are routinely included in the Internal Audit Plan 2015–16 as part of standard annual assurance processes.

Internal audit

The internal audit function operates independently of the activities it reviews, evaluating systems and processes to ensure the agency is operating efficiently, effectively and economically. All audits are risk-based, comprising financial compliance audits, performance audits and information technology computing audits, to ensure that areas of highest risk are addressed in Annual Internal Audit Plans.

The CCC's Internal Auditor retains an independent and direct reporting relationship to the CEO and the ARMC. The internal audit function operates under its own charter to ensure that our procedures, controls and practices are consistent with audit standards and the code of ethics prescribed by the Institute of Internal Auditors International Professional Practices Framework and the CCC. The Internal Auditor also has due regard to Queensland Treasury's Audit Committee Guidelines.

A number of internal audits were completed this year, including audits of:

- covert operations
- Crime and Corruption operations
- payroll processes
- procurement and accounts payable processes
- security management
- assurance mapping of business unit control mechanisms
- legal professional privilege documentation.

The Internal Auditor also prepared the Strategic and Annual Internal Audit Plans for 2016–19 and 2016–17 respectively. These plans were accepted by the Executive, endorsed by the ARMC and approved by the Commission.

External audit

The CCC's financial statements were audited by the QAO in accordance with the *Financial Accountability Act 2009* and other applicable statutes. In 2015–16 the CCC received an unqualified audit report.

Managing our records

Corporate records are valuable assets that document our decisions, the actions taken, and our communication with our stakeholders. The CCC remains committed to responsible management of its information assets consistent with the requirements of the *Public Records Act 2002* and the State Government Information Standards (including *IS40: Recordkeeping* and *IS31: Retention and Disposal of Public Records*).

In 2015–16 the CCC undertook a number of record management projects to ensure our systems and processes are compliant and reflect current record management practices.

Review of the core Retention and Disposal Schedule

Following changes to our Act in 2014, CCC reviewed its core Retention and Disposal Schedule. A number of minor and consequential amendments were needed to cater for these legislative changes. This included altering the minimum retention period for non-warrant surveillance material and the inclusion of a new section to cater for the management of CEM.

Upgrade of the corporate recordkeeping system

During 2016, the CCC upgraded its corporate recordkeeping system from TRIM to Records Manager 8. This project formed part of a CCC-wide Standard Operating Environment program to ensure that our recordkeeping systems were compatible with our upgrade to Microsoft Office 2013.

Review of recordkeeping training

The CCC-wide eLearning module for recordkeeping was reviewed and implemented as part of the mandatory staff training framework. The framework stipulates that staff must undertake the training module every two years to ensure that recordkeeping practices and awareness are appropriately imparted to staff on a regular basis.

The initial program in 2014 focused on general recordkeeping awareness. The current version builds on the general awareness and deals with advancing the overall skill level around metadata generation, email management and physical file management practices.

Promoting ethical conduct

The CCC's Code of Conduct provides guidance to staff on appropriate behaviour consistent with the principles outlined in the *Public Sector Ethics Act 1994*:

- integrity and impartiality
- promoting the public good
- commitment to the system of government
- accountability and transparency.

These principles underpin the values detailed in our strategic plan and are incorporated into individual performance agreements. New employees are provided with the CCC's Code of Conduct upon commencement, and complete an eLearning module in their first week of employment. Existing employees complete regular refresher training. The Code is published on the CCC's website.

External scrutiny

Oversight by the Parliamentary Committee

The Parliamentary Crime and Corruption Committee (PCCC) is a bipartisan committee whose principal functions are to:

- monitor and review the performance of the functions, and the structure of the CCC
- report to Parliament on matters relevant to the CCC, and
- participate in the appointment of Commissioners and the CEO.

In its monitoring and reviewing role it also conducts specific inquiries in respect of matters pertaining to the CCC. In monitoring CCC activities, the committee:

- receives and considers complaints against the CCC
- reviews CCC guidelines and policies and may make suggestions for improvement of CCC practices
- reviews CCC reports including its annual report and research reports
- requests reports from the CCC on matters which have come to the committee's attention, through the media or by other means, and
- deals with ad hoc issues concerning the CCC as they arise.

In 2015–16, the CCC met formally with the PCCC four times in both public and private meetings to discuss our current activities and performance. As a number of new members joined the PCCC during the year, Committee members visited the CCC offices on 18 March and 7 June 2016 to hear presentations on the functions and key focus areas of the organisation.

In June 2015, the PCCC commenced a review of the CC Act calling for public submissions. The CCC provided a number of submissions and attended two public hearings to address our submissions.

On 30 June 2016, the PCCC tabled their report in Parliament. The report contained 29 recommendations addressing legislative changes to improve our governance, jurisdictional and operational issues which will allow the CCC to have better oversight.

Parliamentary Crime and Corruption Commissioner

The PCCC is assisted in its oversight process by the Parliamentary Crime and Corruption Commissioner (the Parliamentary Commissioner), who investigates complaints against the CCC or its officers. The Parliamentary Commissioner may independently initiate investigation of a matter that involves, or may involve, the corrupt conduct of a CCC officer. The Parliamentary Commissioner also conducts audits of CCC records and files.

In 2015–16, the Parliamentary Commissioner:

- inspected the CCC's records to ascertain the extent of compliance with legislation governing surveillance device warrants, retrieval warrants, emergency authorisations and controlled operations
- audited records related to the use of assumed identities
- audited the telecommunications interception records
- reviewed intelligence data held by the CCC
- inspected the covert human intelligence sources register
- reviewed the records management training program.

Where issues were raised by the audits and inspections, the CCC took appropriate action to address those issues. During the year, the Parliamentary Commissioner met with staff responsible for the records management and legislative compliance of surveillance and operational information to discuss key issues addressed during audits and inspections.

Ministerial oversight

As required by the Crime and Corruption Act, the CCC provides six-monthly reports on the efficiency, effectiveness, economy and timeliness of its systems and processes to the Minister. The CCC also provides budgetary information to the Minister. Prior to the enactment of the *Crime and Corruption Amendment Act 2016* the CCC's three-year research plan required ministerial approval.

Public Interest Monitor

The Public Interest Monitor must ensure that the CCC complies with the *Crime and Corruption Act 2001*, the *Police Powers and Responsibilities Act 2000* and the *Telecommunications Interception Act 2009* (Qld).

The Courts

The courts, in particular the Supreme Court of Queensland, play a significant role in the use of our coercive powers, including applications for warrants, in the review of our decisions and in deciding contempt of court matters in relation to CCC hearings.

Controlled Operations Committee

The Controlled Operations Committee was established under the *Police Powers and Responsibilities Act 2000* to consider and make recommendations about applications for controlled operations to be undertaken by the QPS or the CCC.

Controlled operations are investigations of serious indictable offences, misconduct or organised crime that may involve authorised police officers and others engaging in activities that may be unlawful — for example, buying illicit drugs. The committee comprises the Commissioner of Police (or a nominee), the Chairperson of the CCC and an independent member, presently a retired Court of Appeal judge, who is the Chair.

In the case of any controlled operation by the CCC that involves investigating a police officer, the Chairperson may approve the application without referring it to the committee, but must first contact the independent member and obtain their agreement.

Evidence Act 1977

Section 21KG(1) of the *Evidence Act 1977* also requires the CCC to include in its annual report information about witness identity protection certificates given by the CCC Chairperson and the Commissioner of Police. Three certificates were given by the Commissioner on the basis that he was satisfied that disclosure of the operative's identity was likely to endanger the safety of the operative. No certificates were given by the CCC Chairperson.

Police service reviews

Commissioners for Police Service Reviews (Review Commissioners) arbitrate, through a transparent and independent review process, any grievances that police officers may have about promotions, transfers or disciplinary action.

Review Commissioners are independent of the CCC and the QPS, and provide recommendations to the Commissioner of Police (the Commissioner). The Commissioner makes the final decisions. If a recommendation is not accepted, the Commissioner must provide reasons to the Review Commissioner. If the applicant in a matter is aggrieved by the decision of the Commissioner, they may apply to the Supreme Court for a judicial review of the decision.

As at 30 June 2016, the Review Commissioners were Ms Julie Cork, Dr David Gow and practising solicitor Mr Pat Mullins.

In September 2015, in response to a changing pattern of review requests, the Administrator asked the CCC to examine its data holdings and collection methods. The CCC examined the existing data management processes, and proposed a number of changes to improve these processes and optimise the use of the data holdings.

In 2015–16:

- 53 review applications were lodged
- 17 matters proceeded to a hearing (Refer to Table 17)
- 28 matters were withdrawn, lapsed or were out of jurisdiction.

All recommendations (17 matters out of 17) made by the Review Commissioners in 2015–16 were accepted by the Commissioner. The outcomes of matters reviewed in 2015–16 are detailed in Table 17.

As at 30 June 2016, 15 matters from 2015–16 or earlier are ongoing:

- Four matters are scheduled to be heard in 2016–17
- Six matters are on hold pending a decision before the Court of Appeal regarding an administrative/process matter
- Five matters are progressing.

Table 17. Recommendations by Review Commissioners arising from matters heard, 2015–16

Type of application	Affirmed	Varied	Stayed	No Jurisdiction	Total
Promotion	12	-	2	-	14
Transfer	2	-	-	-	2
Unapplied transfer/ Management Initiated Transfer	-	-	-	1	1
Stand-down	-	-	-	-	0
Suspension	-	-	-	-	0
Total	14	-	2	1	17