

Statewide Operations



Assurance Framework

Queensland Corrective Services

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1. Introduction

Statewide Operations (SWO) is committed to increasing local flexibility and supporting Correctional Centres (CC) and Probation and Parole (P&P) regions to get on with the job of delivering services that reduce recidivism. With this flexibility comes the need for accountability and transparency to provide assurance on operational matters including the effective management of risks.

This philosophy is demonstrated by the [SWO Assurance Framework](#), which benefits General Managers and Regional Managers by enabling them to be accountable for service delivery and provide visibility of results in a way that best suit their operating environment.

The SWO Assurance Framework (AF) achieves this by implementing the [Three Lines of Defence Assurance Model \(3 LOD\)](#) to confirm accountabilities across work areas. This approach ensures there are no gaps or duplication of effort in risk coverage, and confirms responsibility for service delivery with Correctional Centres and Probation and Parole regions while SWO focuses on supporting service delivery locations.

This AF has resulted from a comprehensive review of the Governance and Accountability Framework and in addition to implementing the 3 LOD, aims to achieve the following:

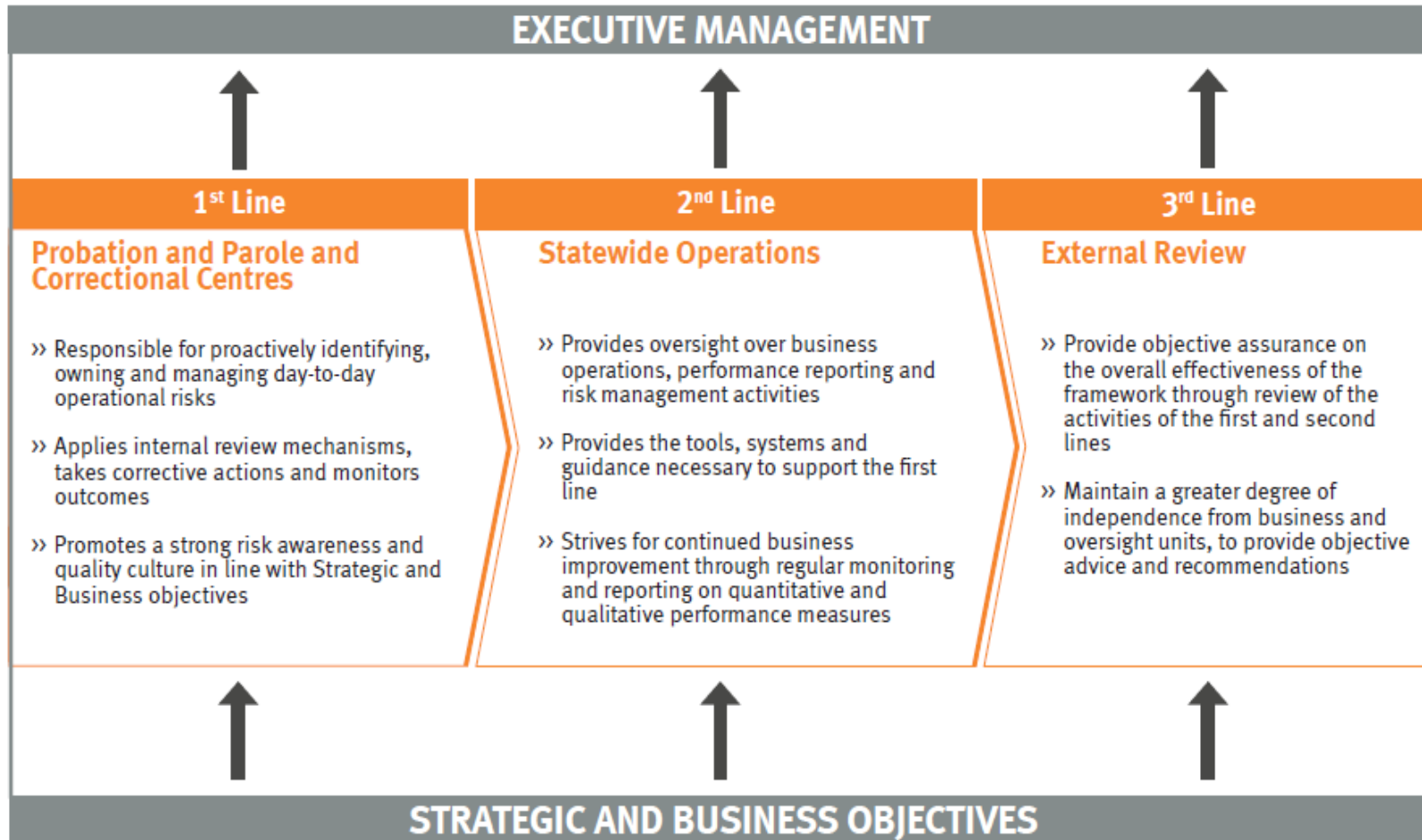
- A proportionate (risk based) approach to assurance;
- Assurance that value adds to what Correctional Centres and Probation and Parole do to hold themselves accountable;
- Flexible internal review mechanisms that can be tailored to unique operating environments and be responsive to business intelligence;
- Visibility over the way things get done as well as the things that are done; and
- Focus on proactive offender management and continuous improvement using the Plan Do Check Act Cycle.

The SWO Assurance Framework has four interrelated Elements related to our values:

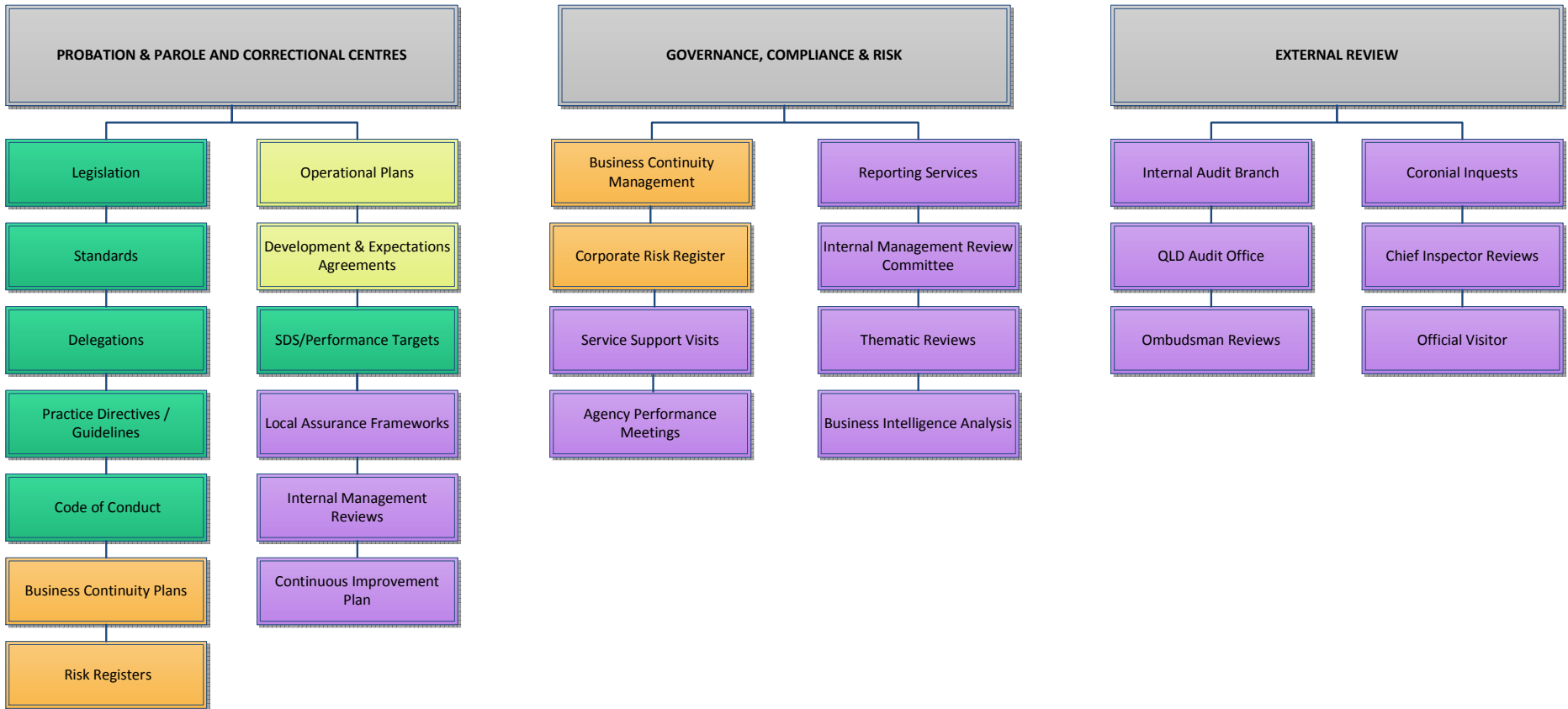
1. **Direction** – mutual understanding of our purpose and direction.
2. **Risk Management** – managing risk as an integral part of our daily activities in line with the DJAG Risk Management Framework.
3. **Accountabilities and Expectations** – being answerable for decisions and having clear roles and responsibilities and appropriate mechanisms in place to meet performance standards.
4. **Service Delivery and Continuous Improvement** – enhanced service delivery and business improvements.

Various [mechanisms](#) for implementing the elements of the AF are used to drive good governance in practice.

2. Statewide Operations Assurance Framework



3. Statewide Operations Assurance Framework Elements and Mechanisms



- Direction
- Risk Management
- Accountabilities and Expectations
- Service Delivery and Continuous Improvement

4. Description of Assurance Framework Mechanisms

Mechanism	Purpose / Process	Reference
Strategic Plan	Planning is integral to the establishment of an organisation's strategic priorities and service delivery approach.	Strategic Plan 2015-19
QCS Business Plan	Identifies our purpose, strategic risks and challenges, our values and how we will contribute the achievement of the Department's overall objectives. SWO provide quarterly updates to enable oversight over implementation of business activities and ensure success.	Business Plan 2017-18
Development & Expectations Agreement (DEA)	To establish and manage employee development and work performance expectations and build individual capability.	DEA
Risk Registers	Risk registers allow business areas to capture identified risks, allocate a risk rating and outline controls to mitigate risks. Risk registers are an effective resource to assist business planning and performance management. Business area risk registers must be updated quarterly and this is coordinated by SWO.	Risk Management Framework
Business Continuity Plans (BCP)	To mitigate risks associated with an inability to deliver critical services in the event of disaster or crisis. Service delivery managers develop, test, and in the event of a service disruption, activate their BCP. SWO coordinate the annual testing and review of BCP.	BCP Policy
Legislation	To provide a governing framework. We are all involved in administering legislation.	Legislation
Standards	To provide the overarching goals to be achieved by Correctional Services within Australia. Standards guide us with the ongoing development of legislation, policy and performance targets.	Standards
Delegations	Identifies positions that may exercise powers provided for in legislation. Delegations and authorisations are the assignment of powers, functions, authorities and duties to a specific position within an organisational unit.	Delegations, Limitations, Authorisations, Directions
Directives and Guidelines	Provides a consistent framework of minimum standards to direct staff when undertaking their duties in accordance with relevant policy and legislation. All staff are required to adhere to minimum standards set out in Custodial Operations Practice Directives and Operational Practice Guidelines.	Policies and Procedure
Code of Conduct	Sets out for all staff the ethical principles, values and standards of conduct for how staff will perform their work and conduct their relationships with others. All employees and volunteers are responsible for their actions as well as any failure to take appropriate action where warranted. The Code of Conduct is underpinned by the <i>Public Sector Ethics Act 1994</i> .	Code of Conduct

CCC EXHIBIT

Mechanism	Purpose / Process	Reference
Service Delivery Statement (SDS) and Performance Targets	SDS Targets are identified each financial year by the QLD Government and provide the budgeted financial and non-financial information for the budget year. QCS also set performance targets each financial year and provide the budgeted financial and non-financial information for the budget year. Service delivery in SWO is measured against the achievement of these targets.	Performance Reporting
Business Intelligence Analysis (BIA)	SWO identify key trends and emerging issues by considering all the feedback and knowledge available to us to inform the key need for further exploration of particular areas of operations and to identify opportunities for business improvement.	Business Intelligence Analysis
Local Assurance Framework (LAF)	To detail how minimum key areas of risk specified by the Deputy Commissioner, plus any other high risk areas included in the location's Risk Register, will be appropriately controlled and managed. General and Regional Managers develop an annual LAF and assess the effectiveness of their LAF at least every six months. SWO will coordinate the development and assessment of local frameworks and provide guidance on the content.	LAF Process Map LAF Guidance P&P LAF Guidance Centres
Thematic Reviews	SWO will coordinate a minimum of four thematic reviews, with a focus on quality related items, annually (one per quarter), and with the impetus and direction for each review topic decided subject to ensuing risk. This flexibility of approach will ensure that SWO maintain sufficient agility to adapt to changing risk and direct effort to where it is deemed to provide the greatest benefit.	Thematic Review Process Map Thematic Review
Service Support Visits	SWO will visit every Correctional Centre and Probation and Parole region at least once a year to provide support and engage in discussions with service delivery locations about local governance arrangements. Areas of focus for the service support visits will be determined based on an analysis of available information.	Service Support Visit Agenda
Continuous Improvement Plan (CIP)	The CIP is designed to assist business units to record and monitor action items for business improvements identified through other assurance activities. This is a 'live' document.	Continuous Improvement Plan
Reporting Services (RS)	Provides a snapshot of offender management information, extracted directly from IOMS. RS can provide current status and trend information relating to work outputs and offender demographics, at an officer, local, regional and state-wide level. Interrogation of RS can be used to oversight practice compliance in key risk areas and maximise opportunities to remediate issues. Oversight of RS should be responsive to the skills, knowledge and experience of the Supervising Officer.	Reporting Services Reports
Internal Management Review (IMR)	A formalised process for the review of critical or significant incidents. An IMR is conducted in Probation and Parole at the discretion of the relevant Regional Manager or as requested by the General Manager, Probation and Parole or Deputy Commissioner. Correctional Centres conduct IMRs as determined by the Deputy Commissioner and these are considered by the IMR Committee.	IMR Committee Handbook

Mechanism	Purpose / Process	Reference
Internal Audit	To provide independent, authoritative and confidential advice to the Commissioner, Deputy Commissioner and senior management on the effectiveness, efficiency, propriety and probity of departmental operations. Audits are conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.	Internal Audit Unit
Chief Inspector Reviews	To reinforce standards of accountability, transparency and performance. Inspections, investigations and reviews are conducted proactively and in response to operational and/or systemic issues or incidents. The independence of the role of Chief Inspector is maintained through its direct reporting relationship with the Commissioner. SWO is represented on the Incident Oversight Committee where all outcomes of the Office of the Chief Inspector recommendations in relation to incident investigations are reviewed and endorsed upon completion.	Office of the Chief Inspector
Queensland Ombudsman	Investigates complaints about state government agencies, local councils and public universities. The Ombudsman also aims to support agencies to improve their decision-making and administrative practice through annual site visits to all Centres. All relevant recommendations from Ombudsman reviews are monitored and tracked by SWO to ensure timely response to any identified issues or recommendations for business improvement.	Ombudsman
Official Visitor (OV)	To impartially investigate complaints by prisoners about acts or omissions by the chief executive, a person purportedly performing a function or exercising a power, of the chief executive or a Corrective Services officer. The OV Scheme is managed within the Office of the Chief Inspector. Complaints directly raised by prisoners may be investigated to review that decisions taken by QCS staff are made fairly, by looking at components of natural justice. The OV also has a role in the review of Consecutive Maximum Security Orders, Safety Orders and consecutive Safety Orders.	Official Visitor
Coronial Inquests	Provide independent investigation into all deaths of prisoners within Correctional Centres. All deaths in custody are to proceed to an inquest in order to gather more information regarding the circumstances of the death and any recommendations or identified issues arising from inquests are to be reviewed for improved service delivery. All relevant recommendations from Coronial reviews are monitored and tracked by SWO to ensure timely response to any identified issues or recommendations for business improvement.	Coroners Court
Queensland Audit Office (QAO)	To report to Parliament on the efficiency and effectiveness of public sector finances and administration through conducting independent audits of Queensland Government Departments aimed to increase public sector accountability. All relevant recommendations from QAO reviews are monitored and tracked by SWO to ensure timely response to any identified issues or recommendations for business improvement.	QAO