Crime and Corruption Commission

QUEENSLAND

CRIME AND CORRUPTION COMMISSION

TRANSCRIPT OF INVESTIGATIVE HEARING

10   **CONDUCTED AT LEVEL 2, NORTH TOWER, 515 ST PAULS TERRACE, FORTITUDE VALLEY WITH RESPECT TO**

File No: CO-18-0360

**TASKFORCE FLAXTON
HEARING NO: 18/0003**

DAY 5 – FRIDAY 18 MAY 2018
20   **(DURATION: 1 HR 15 MINS)**

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LEGEND

PO	**Presiding Officer – ALAN MACSPORRAN QC**
30	**CA**	**Counsel Assisting – GLEN RICE QC**
INST	**Instructing – AMANDA BRIDGEMAN**
HRO	**Hearing Room Orderly – KELLY ANDERSON**
W	**Witness – ROBYN GREGORY**
CM	**CHRISTOPHER MURDOCH, Crown Law (QCS)**
AS	**A J SMITH, GEO Group Legal (GEO Group)**

	PO	Thanks, Mr RICE.
	CA	Mr Commissioner, I call Robyn Anne GREGORY.
	CM	Again, Commissioner, Ms CLOHESSY and I appear for this witness.
	PO	Thank you.
10		Ms GREGORY, do you prefer to take an oath or an affirmation?
	W	An oath, thank you.
	HRO	If you could take the Bible in your right hand and repeat after me, please.
	W	The evidence which I shall give in these proceedings shall be the truth, the whole truth, and nothing but the truth so help me God.
20	PO	Just have a seat, thanks.
	W	Thank you.
	CA	Is your name Robyn Anne GREGORY?
	W	It is.
	CA	Ms GREGORY, you occupy the position of Director of Offender Information Systems within Queensland Corrective Services?
30	W	I do.
	CA	Were you given a notice to attend this inquiry today?
	W	Yes, I was.
	CA	Could I show you a copy.
	W	Please.
40	CA	Is that a copy of your attendance notice?
	W	Yes.
	CA	I tender that.
	PO	Exhibit 42.
50	ADMITTED AND MARKED EXHIBIT 42	
	CA	Offender Information Systems, is that a business unit within the purview of the Operational Support Services?
	W	Yes, it is.
	CA	Would you mind explaining what your role is as Director of that unit?

W   As the Director of that unit, the role has varied over time depending upon, I suppose, where we're situated within different agencies. It has had many iterations.

The current iteration, though, is one that has somewhat expanded. I basically look after or oversee development of software applications as they relate to offender management and its associated reporting, operational reporting.

10

We look after a couple of minor corporate applications, being things like the QCS intranet, the QCS phonebook, at a software layer. I've already recently taken on what we call Offender IT, and that's the provision of technology to offenders and prisoners in correctional centres. I have record-keeping responsibility. I have a small team for strategic planning in the ICT space, another relatively new team, and also a unit we call systems and assurance, which is a mixture of business support, particularly around the IOMS business practices that sit within the application, and some small capacity in terms of our

20   ability to comply with government requirements and reporting. In a nutshell, that's it.

CA   Okay, thank you. For how long have you had the role of being Director of Offender Information Systems?

W   Perhaps if I explain from an historical perspective. I was appointed Director of Information Management Branch when we were the Department of Corrective Services.

30   CA   That's some time ago.

W   Yes, so back in - I think I was appointed in 2006 to that position. We were then transitioned into the Department of Community Safety. I was not in my role at the time, I was undertaking a period of higher duties. That branch then became the Program Management Branch. When the Newman Government came in and we were subject to right-sizing of the public service, that was again changed to reflect what became our business, which was IOMS support and reporting.

40   Offender Information Systems was a title, I think, probably the last three years, and the title has changed and the functions have changed to reflect what I've been required to undertake, given those - the titles reflect what I do, I suppose, is what I'm trying to say. So it has been a bit of a moving feast.

CA   Although your role has changed over that long time frame that you've described-

W   Yes.

50

CA   -have you, broadly speaking, been involved in delivery of IT services?

W   Elements of them, yes.

CA   To QCS?

W   Yes, the elements of them.

CA   Your team in Offender Information Systems, what is its constituency?

W   How many?

CA   Yes.

10

W   At the moment there are, I believe - permanent employees are 43 in total, and I have had the ability to engage a temporary staff member in the IOMS training space since I think it was November or December last year. That will wrap up - it's funded until 30 June. So 43 is the permanent base.

CA   That's a sizeable complement.

20

W   Given the size of the agency and the span of functions, and not necessarily being able to place the resources where they are most necessarily required, it's sizeable, but in an IT space servicing more than 5,000 users, it is significantly small.

CA   Too small?

W   Too small, absolutely.

CA   In what way?

30

W   As we move towards transition, and we know we can't get there very quickly, there will be a number of staff coming from the Department of Justice who, at this point in time, support our infrastructure layer. That's all our server environments and corporate services. IT functions, will need to transition back to QCS. That total complement for all of the areas I've described I have now, and those, will be in the order of approximately - I think it is 72 FTE. That will not be sufficient to support an agency of our own size in an independent way.

So, yes, it is too small.

40

CA   But you're currently transitioning?

W   Transition has not commenced. We have negotiated an agreement for ongoing service delivery which maintains the status quo with our colleagues in justice. We signed that - we've been consulting on it for a while. We signed off on it, I think, last week or the week before, and it is for a 12-month period, so the status quo will remain, while QCS has to figure out how it is going to deliver an ICT function as a stand-alone entity.

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CA   Your area of responsibility is likely to grow, I gather?

W   There will need to be, in my view, a CIO function established. Whether I'm that person or it is someone else remains to be seen, but there will certainly be significant benefits in putting all of the ICT functions into a single area of responsibility.

CA   Notwithstanding your broad responsibilities, the focus of interest is on

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IOMS for today's purposes. Okay?

W   yes.

CA   One document we came across that might provide a reference point for discussion of that is a document called Offender Information System Access.

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W   Yes.

CA   Derived, I think, from the QCS intranet. Are you familiar with it?

W   Yes.

CA   Can I show you a copy. Do you recognise that as a copy of the document available on the QCS intranet?

W   Yes, I do.

20   CA   It's entitled Offender Information System Access?

W   Yes, it is.

CA   I tender that.

PO   Exhibit 43.

ADMITTED AND MARKED EXHIBIT 43

30   CA   Can we start with some very basics, Ms GREGORY. What is IOMS used for?

W   IOMS is basically an in-house developed application which is used for the case management of prisoners in correctional centres and offenders in probation and parole. It incorporates many of our legislative requirements in relation to offenders. It's a tool that is used to capture information, so, for example, breach of discipline proceedings, where someone is accommodated; it captures personal details, physical-

40   CA   Such as?

W   Personal details? Name, date of birth, gender - those basic identifiers. It will capture the person's last address. It will capture a physical description of the individual, including scars and tattoo markings. It will also capture the emergency contacts of individuals and their ethnicity. There may be some other fields, but they're the main ones in the personal details area.

50   CA   Is there other information that's stored within, say, a prisoner's file, if that's the correct word?

W   Inside the record, offender record?

CA   Yes.

W   Yes, the record provided by IOMS in total is extremely-

CA	I'm just interested to know what storehouse of information it is.
W	It's extremely comprehensive.
CA	That may be a fact in itself, but can you give us some idea?
W	Yes. I suppose the way that we describe - and it's common across jurisdictions - the journey of an offender is in some high-level components and it's referred to as an admission, induction, assessment, planning, review, exit. So that's the high-level hierarchy.
CA	Yes.
W	Under each of those high-level items, there are a range of functions that need to be performed. Most, if not all, of the information gathered through those processes are captured within the IOMS data store through the application.
CA	It sounds like the obvious thing, that a prisoner 's record would be created at the point of entry. Does that sound correct?
W	That's correct, unless it's a prisoner who is returning to custody.
CA	In which case they've already got one?
W	At which point in time they've already got a record and what we do, if they have been discharged from our care and they are re-entering, we create what's called a new episode. We start from fresh, in terms of making sure that all of those fields that I have spoken to are re-entered again.
CA	You mentioned a number of high-level headings.
W	Yes.
CA	Or stages of progress.
W	Yes.
CA	At each stage of progress, are there fields, compulsory fields?
W	Yes.
CA	Are there free text fields as well for entry of comments, and so forth?
W	Yes.
CA	What about storing of primary records that might not be created by the person entering data, such as medical records or criminal history checks, information of that kind?
W	Yes. You've mentioned two. If I can take care of medical information, IOMS' application does have the capacity to gather medical information and store that information. My understanding is that with the transition of the provision of health services from corrective

The line numbers 10, 20, 30, 40, 50 appear in the left margin alongside the transcript.

services back to Queensland Health, they don't necessarily enter information into IOMS but, rather, use and connect to Queensland Health and use Queensland Health systems.

That said, our private operators employ their own medical staff, and I would believe that they would be using the medical component that is available to them in the IOMS application.

CA   Is there capacity to upload-

W   Yes, there is.

CA   -to IOMS, records that may exist externally of it?

W   Yes, there is.

CA   Typically what kinds of things?

W   For example, you would have criminal histories, potentially transcripts of proceedings; you may scan the court documents that come-

CA   Transcripts of court proceedings?

W   Yes.

CA   Sentencing remarks, for example?

W   Yes.

CA   Would that be routine?

W   I believe so, yes.

CA   It is probably a fairly basic tool, I guess, in terms of a prisoner's history and management, to know what a person has been sentenced for and what the judge has had to say?

W   That's right.

CA   So that's why that's uploaded?

W   Yes.

CA   Other court records, do you know? I think you may have mentioned, beyond transcripts, some other court records?

W   Verdict and judgment records, yes, they are. There are possibly other documents scanned to IOMS that I may not be aware of, but certainly that capacity and the facility to upload documents is available.

We also do things like attach officer reports. So, for example, breach proceedings, they are completed as a Word document and uploaded to IOMS.

CA   Might records be uploaded to IOMS at any of the stages of a prisoner's progress that you described before?

	W	That's correct.
	CA	Theoretically?
	W	Yes.
	CA	And perhaps practically as well?
10	W	Yes.
	CA	Is it, then, the bulk storehouse of all information pertaining to a prisoner's entry and progress through the corrective services system?
	W	Yes. The data is stored in the IOMS database. The application is merely what the user sees to be able to recall records and to input data. The data itself is actually stored in the IOMS database.
20	CA	What facility is there for persons to enter information into IOMS? In what circumstances would that be done?
	W	As to circumstances, I believe you would find staff in correctional centres and staff in probation and parole offices, and even some staff in head office areas, will have been provisioned access to IOMS, because it is a prime tool that they would use on a daily basis in terms of managing offenders. It is a tool that is used widely, commonly and frequently.
30	CA	To begin with, would that be for information retrieval, that is, to look for relevant information pertaining to a prisoner?
40	W	It's both. It is both about being able to view and read information, but it's also for creation of information. There is also an ability to necessarily change information in relation to a prisoner. For example, a prisoner, upon entry in a correctional facility, will have their photograph taken. There is a requirement and a need to continue to, at periodic times, take new pictures, because people age, people change, whatever, so those are kept current. Sometimes you will have instances where a record needs to be corrected, so wrong information has been put in. There are processes in place for staff to be able to make amendments to that.

The history of those changes are kept - we call them transactions and they are held in the IOMS audit database, which is separate to the offender information. That's all captured in a separate database. All of the activities of persons who are using IOMS are stored in that way. |
	CA	For how long has this system been in use, by the way?
50	W	Since August 2005.
	CA	You mentioned, I think, earlier that there were some 5,000 users?
	W	Yes, roughly. I don't have the exact number.
	CA	What proportion of QCS employees would that be, do you know?

	W	I don't know what proportion it would be. The 5,000 - put it this way, I don't just - QCS employees are not the only people who use IOMS. We have two prisons that are privately operated. We require, for the continuity of offender management, for those private providers to use IOMS. We have other groups, like Parole Board Secretariat, who also rely on that application. It's a bit larger than just the QCS staff group.
10	CA	Yes, understood.
	W	I would anticipate and expect that, in the field - I'm talking probation and parole and in correctional centres - given the nature of their business, it would have to be at least 90 per cent of staff in those circumstances.
	CA	Just by the way, you mentioned private prisons before.
	W	Yes.
20	CA	The two private prisons, are they required to use IOMS in the same fashion as the public sector prisons?
	W	Yes, they are.
	CA	Custodial correctional officers, those people at the coalface of managing prisoners, what proportion of them would have access to this?
30	W	I would anticipate that all correctional officers, custodial officers, would have access.
	CA	They may have occasion to input data, for example?
40	W	Yes, they do. For example, there are a range of functions that need to be performed in a correctional centre, and therefore there will be a range of access levels provided. Staff in correctional centres don't turn up and go to the very same spot every day of the week, week after week after week. There are rosters in place that will change and vary what they may be doing and where they are located over the course of their career.
		There are some specialist functions that custodial officers perform - for example, visits processing officers, they obviously need access to be able to manage the visits booking and the management of facilitating visits. Correctional officers also operate things like reception stores in prisons, so they have a requirement to be able to capture different sorts of data than an officer who would be supervising prisoners in a unit in a block.
50	CA	Is it a necessary tool for regular use by custodial correctional officers?
	W	Yes, it is.
	CA	In terms of your responsibility for it, we see on the document that's displayed, the Offender Information System Access, there's a description under Operational Support Services of responsibilities.

W		That's right.
CA		Does that describe in a complete form the area of responsibility?
W		For my area, yes.
CA	10	Could you explain what, in practical terms, is involved in the first of those; that is, ensuring appropriate security governance is in place to identify and implement access privileges?
W		There's a couple of elements in that. First of all, anybody who is - so it's all about - when we say "security governance", it's about what are those things that are in place that support access to the system. First of all, anybody who is requiring access to IOMS will need to complete and sign a user agreement, which includes conditions of use of the application.
CA	20	That's the kind of security governance that's implicit in that responsibility?
W		Yes, that's right. We also maintain something called the instrument of delegation, which sets out who can approve a person or a staff member's access to IOMS and what level of access is to be provided. IOMS has what we call a role-based access model. It was designed, I think, in 2004/2005 as we were getting ready to deploy IOMS, and it was based around the typical staff roles that you would have found in place in correctional centres and probation and parole at that time.
	30	The role will describe the sorts of things that you are allowed to have access to in terms of being able to create or edit other varying levels that access will have an ability to recommend or approve. So it's built around the types of things that persons are required to do. It also sets up a schema - what we call general reader access, which is a person's ability to be able to view information on IOMS.
		So for each role, there are a number of higher-order roles who must approve the level of access that someone is applying for.
CA	40	Can we narrow it down a bit by focusing, say, on custodial correctional officers and their access. They are the ones who are interacting with the prisoners at the different centres.
W		Yes.
CA		What level of access would such an officer have? Are there any restrictions on what may be viewed, for example?
W	50	There are not too many restrictions on what can be viewed. Certainly-
CA		Well, what are they?
W		Sorry, what are the restrictions?
CA		Mmm.

W		You wouldn't be able to view any of the information that falls into what I believe is the information that's classified as "Protected", so that's victims information, intelligence information. There's five. Parole boards, High Risk Offender Management Unit, and the last one is going to elude me, I'm sorry.
CA		That's okay. There are certain set categories-
W		Absolutely.
CA		-that are excluded from access by the general run of the mill custodial correctional officer?
W		Yes.
CA		But leaving the balance, is there any discrimination as to that balance-
W		No.
CA		-in what custodial correctional officers may view?
W		No.
CA		Does that apply across centres?
W		Yes.
CA		For example, does a correctional officer at Brisbane Women's have access to Townsville Women's?
W		They are able to view records, yes.
CA		Are they able to view records of any prisoner within the correctional system?
W		Technically, yes. There is a facility within IOMS, which is called "Restricted Access", so that's the ability of an executive staff member of QCS to mark an offender's record as having restricted access. The executive officer, if they choose to go down that path, will then need to identify the persons who can view that record.
CA		That would be on a one-by-one basis?
W		A one-by-one basis, yes.
CA		Speaking as a general rule, however, would every correctional officer have access to the file of every prisoner presently within the custodial system in Queensland?
W		Technically yes.
CA		Save for the categories of restriction that you have referred to?
W		Yes.
CA		And save for any individual's records who someone senior may mark

		as being not to be viewed or similar?
	W	That's correct.
	CA	What about people who have exited the system, that is, past prisoners?
	W	Past prisoners, yes.
10	CA	Their files, do they continue to reside within IOMS?
	W	Yes, they do.
	CA	Are they able to be accessed by serving custodial correctional officers?
	W	I believe so, yes.
	CA	So hypothetically, a custodial correctional officer who had an interest in someone who he or she knew had been to prison five years ago, knew that person's name - could that be accessed?
20	W	Yes, it could.
	CA	And all of the data that you've described viewed?
	W	Yes.
	CA	Is there any reason why that degree of functionality exists?
30	W	I probably contextualise it from the point of view, in the beginning - I'm happy to flesh it out - from the point of view of why IOMS was built the way it was.
		If we go back in time, our previous systems in terms of IT systems for the management of offenders - they were old by the time they were replaced, but what we had was a situation in corrections where you had - probation and parole and custodial had separate systems, and information was not able to be exchanged between those two groups.
40		So typically, under our old systems, you could have an offender who spent five, six, ten years in prison. They would leave prison, they would be discharged, and they would enter into probation and parole, and the information from ten years prior was not available to them, because they not only didn't have connected IT systems, they didn't have a co-joined filing system, either.
		One of the principles underpinning the way forward with IOMS was to make the prisoner the centre of the system and actually manage the prisoner's, what we call journey from the point of reception through to the point of discharge, so that was the underpinning principle.
50		When IOMS was built, we certainly didn't have information privacy legislation that is in place today. Now we would make the judgment that it's a very liberal ability in terms of viewing personal information.
	CA	Is that a deliberate choice?

W		It was back in the day when it was built.
CA		Has that simply been carried over to the present?
W		Yes, there have been very few changes in terms of the security access model for IOMS.
CA		Is that for deliberate, philosophical and practical reasons?
10	W	We have identified, and did identify, some shortcomings in relation to the security model for access for IOMS. We went forward with a proposal to our board of management in terms of being able to enhance the model. In the scheme of things, I would think it was a considerable investment in terms of money to change the model, and we were not successful in getting those funds.
	CA	Did you, or some unit you were associated with, propose some less-liberal form of use? Is that what you're conveying?
20	W	Ultimately that's what we would have done. When we went forward with the proposal, it was to simply say inadequacies, because the work that would need to be undertaken to address the issues with the access model would have been a lengthy period of work. We wouldn't have done all the detailed work, because we needed the money to undertake the detailed work, if you understand what I'm saying.
	CA	Yes.
30	W	But we certainly - it had been identified as a problem in terms of, there are inadequacies. So, as I say, it went forward. It was simply a very short proposal that said: inadequacies; needs review; we've done an estimate, and it would have been an estimate with probably about a 65 per cent confidence level that we would need X amount of money and X amount of time to undertake this piece of work, because it would need to be either prioritised ahead of business functionality or it needed a separate funding stream.
	CA	What kinds of inadequacies were identified at that time?
40	W	Inadequacies, one, in terms of the original model was built on a role-based model of an organisational structure which was about two or three iterations old. People's roles on the ground had changed. They had been augmented. There were the issues in relation to the controls or the abilities to be able to easily add and remove access and monitor access, so there were a number of issues in that space.
	CA	Could I ask you whether it has some security features that I'll identify for you; you may or may not recognise them. Can it implement access privileges?
50	W	I'm not sure what you mean by "access privileges".
	CA	Save for the forms of restricted information which are not generally accessible, could this system discriminate in its functionality in other categories of information, that is to say, could it be made more restrictive in what may be viewed, and could it discriminate between

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categories of information if it was thought desirable to do that?

W Yes. That is the kind of work that we would be looking to do through DOME, is a new access security model. It would, in actual fact, in my view - and it hasn't been designed, but it would be about providing some greater granularity, I suppose, specificity, around what a person could do and what they could view and what they could see.

CA Does that form any part of the business case that's being developed?

W Yes, absolutely.

CA To identify just what kind of functionality in terms of restricted viewing or restricted access might be more modern?

W Right. I suppose my answer to that would be, as someone who has worked in this space for a long time, that would be what I would be driving to. The place where we're at, though, in terms of the Digital Offender Management Environment, is we haven't actually got to design.

The design of the individual components that would make up a new system - and I say "new system", and I probably need to explain that a bit at some point. There are a number of elements that we want to introduce to enhance the workability and the usability for users, improve security, improve our information sharing, across different parts of the government and with non-government organisations. So there are a range of things that are being considered within DOME, but security access is certainly one of those that is front and centre.

CA Could IOMS in its present form incorporate a feature where a user was required to enter reasons for access of a particular record or a part of a record?

W Yes, I think one of the things that may need to be understood is why access is so broad. There are a number of people who would need to be able to view the records in a location other than the one that they are at. There are legitimate reasons for that to occur.

CA There may be.

W Yes.

CA But it's a question of whether there is capability to give some indication, within the system, of what that reason is?

W Look, it's certainly potential. I think there would need to be some thinking done about that. In terms of for persons who have a legitimate use, they would be having to enter reasons quite frequently, and whether that then becomes useable for that group then remains to be seen.

There are options, I suppose, that could be looked at and thought about. There would need to be a number of considerations around technical complexity, usability for the user, the amount of money that it's going to cost. At this point, I sort of am hanging out for outcomes on Digital

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		Offender Management Environment, so there are those considerations that would need to be made, and then a design, you'd need to be able to design.
	CA	Those considerations will have to be addressed, won't they, in due course, if DOME becomes a reality?
	W	Absolutely. Absolutely.
10	CA	So the bureaucratic task of identifying what a person's role really requires in terms of access and whether reasons should be identified, and on what occasions, across the categories of users, that will all have to be assessed, won't it?
	W	Absolutely.
	CA	So it's work that has to be done, in any event?
	W	Yes, it is.
20	CA	Could it be done with respect to IOMS?
	W	It certainly could be done in respect of IOMS, but it's going to take resources and money.
	CA	It may not be your call, but would the will be there to do that if, indeed, IOMS is proposed for replacement?
	W	Sorry?
30	CA	Would the will be there, presently be there, to invest the time and money to achieve that outcome with IOMS, given that it is at least being spoken about in terms of replacement?
	W	I don't know, and that would be a decision of board of management, in any event.
	CA	Has that kind of thing ever been raised with the board of management?
40	W	When I said a funding proposal was put forward in terms of the inadequacies, that was considered by board of management.
	CA	Perhaps not as extensive as what we just described?
	W	Probably not - well, not in those terms.
	CA	No.
50	W	But certainly the understanding that there are inadequacies and shortfallings in the access model was certainly-
	CA	How long ago was this, by the way?
	W	The first occasion was, I believe, in the lead-up to the 2012-13 financial year. We did, and I can't remember which year, on another occasion we went back. Can I contextualise that? When I say we "go forward",

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the way that we manage the work that my team does is that we consult with business about what they think they're going to need in the next 12 months, and they give us history - you know, changes or enhancements that they would like to see in IOMS. We actually put those in a list. We've had, in the past, scoring mechanisms to score the value of those particular items.

10

It has always been the case that there is more work on the list than I'm able to deliver, so there is a prioritisation done of those items. Board of management ultimately decide what items of work I will conduct in the IOMS space. That's a process that we have used - I think since probably at least 2012-13, if not before.

CA   You mentioned the submission that was made you think in 2012-13. Has there been another since, or more than one?

W   Yes. I believe we went forward - it was on two further listings after that, and I think - oh, look, I couldn't say with certainty, but I think the last time it went to board of management was the - I think it was 2015-16 or it may have been 2014-15. I think 2015-16.

20

CA   Is it a conscious approach within QCS that this, what I think you described as fairly liberal access, arrangement should continue?

W   I think we are used to what we're used to, and I suppose when I say "liberal", it's liberal in terms of - I can see why people would think it's liberal, but I think it is so far and so long been the norm, and has been the underpinning building block of IOMS, that it has been an acceptance.

30

The other thing from my point of view - and I'm not sure we would get to this - is that the system holds information and it presents information and allows people to create information. Those persons are charged with responsibilities, and every day they log on to IOMS, they are reminded of what their use and responsibilities are in terms of information. It's a multifaceted element.

CA   Since you raise that, can I show you this screen dump?

40 W   Sure.

CA   Is that a screen dump of the initial access screen of IOMS?

W   It looks to me to be that, yes.

CA   I tender that screen dump.

PO   Exhibit 44.

50 ADMITTED AND MARKED EXHIBIT 44

CA   That is what you're referring to when you say that is what a user would see?

W   Every time they log on to IOMS, yes.

CA	Did it fall within your responsibility to review this as necessary and change it, if there's a need to?	
W	Yes.	

CA | You notice the second sentence of that says, "User access is restricted to information falling within scope of the user's authorisations." In the case of a custodial correctional officer, is it not correct to say that the user's authorisations extend to the whole of the records, save for those selected categories of restricted information that you referred to earlier; correct?

10

W | Yes.

CA | As that sentence reads, a user would take it that if he or she has the authorisation to access it, then access is freely available?

W | Mmm, I see what you're saying, yes.

20 CA | Correct me if I'm wrong: there isn't anything in that warning that would suggest that a user should modify his or her access according to the genuine needs of his or her role?

W | Not in this agreement - not in this one, no.

CA | Is that kind of warning made known in some other way?

W | I have a feeling it is, but I can't remember where, sorry.

30 CA | Okay. Perhaps we could look at this document. It's a conditions and agreements form. Are you familiar with that?

W | Yes.

CA | Is that the kind of form that needs to be signed by a user prior to being granted access to use of IOMS?

W | Yes.

40 CA | Do you know whether that's the form that is still currently being used?

W | I believe it is.

CA | It needs some updating, doesn't it, because it refers to a lot of DJAG matters; correct?

W | Yes. Well, it will.

CA | It will.

50

W | We continue to operate under their policies until we actually transition out.

CA | I understand.

W | Yes, it will. There will be a lot of things, yes.

CA   I tender that conditions and agreements form.

PO   That's exhibit 45.

ADMITTED AND MARKED EXHIBIT 45

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CA   It contains a number of conditions on which a person will access it. Do you know whether there is any system in place for any sort of verbal instruction or information to be given about the scope of these conditions beyond being provided with the form to sign?

W   For custodial officers, there is. As part of their entry-level program-

CA   That's their initial training?

20

W   Yes. They are certainly instructed on how to use IOMS. Part of that is also around this form. It also talks a small amount to information. There is training that is delivered face-to-face. There is also available on the QCS intranet, via the IOMS e-hub, an interactive learning module, which is all around the conditions and use of IOMS. It is simply an interactive video, it's not a compulsory course, but we certainly provide that package; it's available to staff.

30

CA   I think it has been taken away from you, the Offender Information System Access document, one of the responsibilities is to assist in the development of a culture whereby local managers organise access privileges and modifications in a timely manner; correct? Is it any part of the function of Operational Support Services to assist to develop a culture perhaps more widely of - and I'm referring to one of appropriate use, having regard to a needs to know basis for the performance of a given officer's function?

W   I could see that that could be done. I simply come back to the fact that I don't have a lot of resources.

CA   No. It's not a matter of being critical, Ms GREGORY, you understand, but we just want to get the information.

40   W   It's something that could be done. Has it been done? I don't believe so.

CA   Do you see that second dot point does refer to the development of culture.

W   Mmm.

CA   But it's not a broadly based culture of appropriate use of private information, is it?

50

W   No. Are you talking specifically to IOMS?

CA   Yes.

Who, okay.   In terms of developing a culture, no, I'd say that that's not something that we have been able to do a great deal of. We certainly have, again

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		through the e-hub area of our intranet, put up messages reminding people of their obligations around use, but in terms of developing culture, certainly I wouldn't feel that that commitment has been fulfilled.
	CA	I appreciate the document is on screen. You may well be familiar with it. It's available on the intranet, I think you agreed earlier?
10	W	Mmm.
	CA	But it doesn't contain, does it, any instruction to the reader as to what may be appropriate information use-
	W	No.
	CA	-pertaining to the performance for that person's duty and limited thereby?
20	W	No, it doesn't.
	CA	Should it?
	W	Going forward, that possibly could - I mean, it could very well be done. There is a fairly comprehensive Department of Justice and Attorney-General policy, which relates to the use of ICT services, facilities and devices, which certainly talks to systems and information use.
30	CA	I suppose the question is although the conditions and agreements form lists a number of conditions, which do pertain to appropriately limited use of data, beyond signing this, what reinforcement is given to the average custodial correctional officer of the limitations?
	W	I'm not able to answer that question.
	CA	Is there any?
	W	Not that I'm aware of.
40	CA	This may be outside your area, or it may not: is there any training that you're aware of beyond the initial academy-type training in appropriate use of IOMS, that is to say, to accord with what we now accept are privacy considerations?
	W	Not that I'm aware of. The same document, at the bottom of page 3, you see refers to review of access?
	W	Yes.
50	CA	Then on page 4 it refers, in some way, to audits?
	W	Yes.
	CA	Does IOMS have the capacity to enable a user's access history to be audited?

W	Yes. Sorry, history as in?
CA	Well, a given officer. Which records have been accessed by that officer.
W	Yes.
CA	Is that kind of audit done of individual officers' access?
10 W	Not proactively. Those transactions are captured in the IOMS audit database. I receive requests for audits of particular individual officer uses or potentially which officers have looked at a particular offender record. So there's what they've looked at. There's also the ability to examine and capture what documents they have created, changed or deleted.
CA	Does it descend into the kind of detail as to what screens have been used? For example, is it more detailed than that an officer has accessed a particular offender's file?
20 W	Yes.
CA	And it extends to-
W	Yes.
CA	-which parts of that have been accessed?
W	Yes, yes.
30 CA	Screen by screen, if necessary?
W	Not necessarily screen by screen, because one object in IOMS may have several screens associated with it, but the fact that you actually, say for example, went into an immediate risk needs assessment would certainly be - we would know that that had been viewed. If someone had created and changed that, that would also be recorded. But certainly item by item, yes.
40 CA	You were explaining that this kind of extraction of information, of the details of a user's use, is done within your area upon request?
W	Yes.
CA	Typically by whom?
W	I receive it, because I will be the person who will say whether or not it will be actioned or whether I need more information. It needs to come from someone like in Ethical Standards Unit; we sometimes have staff from CSIU. You need to be a general manager, regional manager or an executive officer. If you have a request, it needs to have that person's approval before we will undertake that action.
50	
CA	Absent that kind of inquiry, is there any routine of random or other audit of users' access?

W | No. Can I suggest to you that my technical staff wouldn't know what was the appropriate access for a particular individual officer, because they have no way of knowing what that person's duties would be.

CA | Yes.

W | So they could say, "Here's their access." No judgment about whether it's the right access or whether they've done something they shouldn't have done would be able to be made by my staff.

10

CA | There is no means of telling, is there? Is that what you're saying?

W | Not by my staff. Not by my staff. Business staff would be able to.

CA | And the system doesn't build in any security controls; correct? I think we've covered this. Users have unrestricted access, save for certain categories. So, in that scenario, is it correct to say there's no means of identifying what appropriate or inappropriate use may consist of?

20 W | By my staff, no.

CA | Who would be able to determine that?

W | Their supervisor and their manager would be able to. The IT system captures what has been viewed, created, deleted, whatever. Their manager who authorised their access would be able to identify whether or not that had been a correct use or inappropriate use or misuse of the system.

30 CA | Unless a supervisor were queried in the same way as you are queried about a person's use, is there any way in which any supervisor could identify whether accessing is appropriate or not?

W | I'm sorry? I'm not quite understanding.

CA | No, it's not a very good question. Given that the access is system-wide, so to speak, save for the select categories, unless a user attracts the attention of ESU or CSIU or similar, is it fair to say that it's most unlikely to be detected that a person has made some form of

40 | inappropriate use?

W | I probably - I agree with the statement. I think it is something that could be looked at from a business perspective. I know we're talking very much in the technical space, as we should, but information, use of information, I think as you look at the procedure, there are responsibilities for all in this. The system, and myself and my team in particular have a role, but there are other persons in this who also have a role, and everyone has a role in relation to information management, security, record-keeping and those functions. I am not in a position to

50 | judge, I suppose, how well that is performed necessarily by all on the ground.

CA | No, I know, but can you tell me, though, so far as page 3 of this document, at (i), refers to a full audit of all IOMS users' access annually, what does that audit consist of? What's its objective?

W		It is the capacity to examine every person's access level to IOMS, to then be able to say whether or not they have more access than they should or - I wouldn't expect to get less access, but more access than they should.
CA		Whether they still had a form of access which was appropriate to their job?
W		That's right, yes. Yes, that's what it's intended to do.
CA		Okay, thank you. What, then, is the quarterly review that's referred to in the next point?
W		That point is a recent addition and arose more from the point of view that people, as it says, undertaking higher duties or on secondment needing additional or different IOMS access and then returning to their usual job do not retain the level of access that they had. So it's to try to counter those persons who are moving within the organisation and performing different roles, requiring different access, for periods of time, which is fairly common within corrective services. It's about trying to capture those earlier rather than at the annual audit. It only applies to those persons whose access has changed.
CA		Can we go back a little earlier in this document to page 1. In the middle of that page, do you see the section there dealing with managers/supervisors of individual work groups?
W		Yes.
CA		When the document speaks of "work groups", are we, for instance, speaking about work groups of custodial correctional officers in centres?
W		Yes.
CA		Do the various things listed there as dot points all fall within the responsibility of, say, an officer's supervisor?
W		I'd need to check - the short answer is yes. What I'd need to do is look at the instrument of delegation to see who is the authority for granting a custodial officer their access. I'm not sure if it's a supervisor or a manager. It details it in the instrument of delegation. I just can't remember off the top of my head.
CA		Whoever it is, presumably if a person passes through the training, becomes accepted as an officer and signs the conditions and agreements form, there's no trigger, is there, to prevent the person's access, and it would follow in due course?
W		Well, it has to be authorised.
CA		Yes, yes.
W		Yes, it has to be authorised. That job has to be logged, and, yes, the access would be provisioned.

CA	Given that managers and supervisors who fall within the Statewide Operations area of responsibility are tasked with this kind of responsibility, are they accountable for those things within their own stream, that is, to Statewide Operations, or do they become accountable for that task to your stream?
W	No, I believe it sits with Statewide Operations in terms of they are the persons who manage the users of the system that I am responsible for provisioning.
CA	So the supervisors have a responsibility for a given officer's job, and that includes the various things that are listed in the various dot points; is that so?
W	Yes.
CA	Does the oversight from your area kick in with the kinds of audits that are referred to on page 4?
W	Yes, it does.
CA	Are there computer terminals within custodial units that corrective services officers would access?
W	Yes.
CA	In accommodation units, for example?
W	Yes, that's my understanding.
CA	Have you ever visited to look at the configuration?
W	It's some time since I have visited a correctional centre, but I have been to - yes, I have been to every correctional centre in Queensland.
CA	The computer terminals that are within residential units or custodial units, would they typically be the point of entry for correctional officers on duty, should they have a need to view or create data?
W	Can I just clarify?
CA	Yes.
W	Residential unit - my understanding of a residential unit is that it's an accommodation area that is within a prison, not a secure accommodation area. In that residential block, there is no terminal, because there is no officer station. In most residential areas, there will be an officer station at some point that will provide that oversight, and, within that office, yes, there will be a computer terminal and, yes, it will have IOMS on it.
	In our secure accommodation blocks, they certainly have a computer terminal in their officer station.
CA	That's the evidence, Commissioner.

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	PO	Thanks, Mr RICE. Mr MURDOCH?
	CM	Yes, thank you.
		Just following up on those last couple of questions you were asked about the location of the devices, can IOMS access occur from any device or only from particular devices?
10	W	No, it has to be a QCS Windows or Microsoft device. It has to be a computer or a laptop that is authenticated to the QCS network. There's no access to IOMS from a non-registered QCS device.
	CM	In terms of access, if a person wishes to access the system - you were taken before to that screen that comes up. Is there a log-in required or something like that?
20	W	Yes. What you have to do is you actually have to log on to the network, so you have to have a network account established. We use Microsoft Active Directory as our source of truth for users. Then, if you apply and get IOMS access, you actually have to be part of the IOMS database, so your name has to be in - or your log-in has to be in the IOMS database to effect access to IOMS. So it's a kind of two-step process to get to the application.
	CM	Does one have to put a code of some sort in, or how does that work?
30	W	Not for IOMS. But certainly for your log-in, you have to have your log-in and you have to have a password, and you're required to change your password on a regular basis.
	CM	You were asked some questions about the capacities of officers to access information, for example, at other centres. Are there business reasons why there may be a requirement for an officer in one centre to access information at another centre?
	W	There are some legitimate reasons.
	CM	Some examples might be?
40	W	For example, a prisoner in one location may be listed to transfer to your location. The staff may want to do some checks in terms of who; are there issues; what has this person's behaviour been like; where do we think that they might be situated best in their facility; what's triggering the transfer? So there are some of those sorts of legitimate, I would think, reasons for doing that.
50	CM	Do similar considerations apply in respect of the ability to access information of a prisoner who is in a different part of the prison from where the officer might be located, say, from secure to residential or something like that?
	W	Well, yes, there is. There can be some legitimacy about that, because it might be that someone is going to make a decision about moving prisoner A from block B to block C, and are there any known associations or issues or that sort of information that needs to be known.

EVIDENCE GIVEN BY ROBYN GREGORY

Transcriber: TH/KR

CM		Just one final matter. You information in respect of which there are restrictions on access. Just to clarify, does that include intelligence information?
W		Yes. The intelligence information in IOMS - IOMS is probably not the main repository for intelligence information. It provides a facility for staff to enter an intel note or create an intelligence report. The intel reports are able to be classified as protected, which then limits the ability to be able to view that.
		Most of the intelligence analysis, there's a separate application for that. It's called iBase. It receives feeds of information from IOMS into that on a nightly basis. It has to have identifying information, but it receives intelligence notes and incidents and those like-nature data from IOMS into that database, and that's where the intelligence analysis work actually, in my view, is conducted.
CM		They are the questions, thank you.
PO		Ms GREGORY, to clarify that last answer, you said iBase. What is that?
W		iBase is a commercial product. I'm sorry I can't remember what its real name is. We call it TIMS. It's an intelligence management system that was procured by our intelligence group. It is supported by a vendor. It is configured by a vendor. It gets data feed securely from IOMS on a nightly basis to update information relating to offenders. Additional intelligence information, on my understanding, is entered into that system and not into the core of IOMS.
PO		There is restricted access, I assume, to that database, is there?
W		The access to that is managed by Bruce WELK's team and, yes, restricted.
PO		Thank you.
		Mr SMITH, do you have any questions?
AS		No questions, Mr Commissioner.
PO		Anything arising, Mr RICE?
CA		No, thank you, Commissioner.
PO		Thanks for your attendance, Ms GREGORY. You are excused.
		That concludes the public hearing today, Mr RICE?
CA		Yes, it does, thank you, Commissioner.
PO		Thank you. We will adjourn the hearing until Monday at 10 o'clock.

END OF SESSION