



## 04 Governance

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# Our Commission

The Commission is responsible for providing strategic leadership and direction for the performance of the CCC's functions and the exercise of its powers by the Chairperson, CEO and other staff.



## Mr Alan MacSporran QC Chairperson

Appointed on 1 September 2015

Mr MacSporran has a Bachelor of Laws from the University of Queensland. He was admitted as a Barrister-at-law in 1978 and was later appointed Senior Counsel in 2005 and Queen's Counsel in 2013. Prior to joining the CCC he practised as a barrister for 38 years, his career spanning periods as a Crown Prosecutor and working on coronial inquests and commissions of inquiry. From 2004 to 2009 Mr MacSporran served as the part-time Parliamentary Crime and Misconduct Commissioner. Mr MacSporran is a graduate of the Australian Institute of Company Directors.



## Mr Sydney Williams QC Deputy Chairperson

Appointed on 1 November 2014

Mr Williams has Bachelor degrees in Commerce and Law from the University of Queensland. He was admitted as a Barrister-at-law in September 1975 and as a barrister in Papua New Guinea later that year. Mr Williams was appointed Queen's Counsel in 1986. Since then he has been in continuous practice as a barrister, focusing on insurance and personal injury litigation.



## Ms Deborah Holliday Commissioner

Appointed on 10 March 2017  
Acting appointment, 11 November 2016 to 10 February 2017

Ms Holliday has a Bachelor of Laws (Hons) from Bond University and was admitted as a Barrister-at-law in 1994. Her early career included 24 years working in the Office of the Director of Public Prosecutions (Queensland) before joining the private bar. Ms Holliday was a Principal Crown Prosecutor for 15 years. She was seconded to the Inquiry Legal Representation Office and represented persons adversely named in the Carter and Connolly/Ryan Commissions of Inquiry. Ms Holliday's practice includes providing high-level legal advice and appearing as counsel for government departments and the Legal Services Commission.





### Mr Marshall Irwin Commissioner

Appointed on 1 March 2016

Mr Irwin has a Bachelor of Laws from the University of Queensland and was admitted as a Barrister-at-law in 1976. His early career included 12 years as a senior prosecutor in Queensland and five years investigating crime and corruption, both with the Fitzgerald Inquiry and as the first General Counsel to the newly established Criminal Justice Commission. From 1998, he was also a board member for the National Crime Authority in Melbourne for a period of four years. Between 2003 and 2008 Mr Irwin was Queensland's Chief Magistrate. Until his retirement in 2014, Mr Irwin presided over District Court proceedings throughout remote and regional Queensland.



### Professor Anne Tiernan Commissioner

Appointed on 10 March 2017

Acting appointment, 11 November 2016 to 10 February 2017

Professor Tiernan has a PhD from Griffith University, Bachelor of Arts (from the Australian National University) and a Bachelor of Commerce (Hons, First Class, Griffith). She is the Dean (Engagement) for Griffith Business School at Griffith University. Professor Tiernan is a political scientist, with earlier careers in government, and in teaching and consultancy.



Professor Tiernan is a National Fellow of the Institute of Public Administration Australia and a Fellow of the Australian and New Zealand School of Government (ANZSOG). She is also Chair of the Queensland Independent Remuneration Tribunal. Professor Tiernan was previously Assistant Commissioner, Collaboration for the Public Service Commission, Member of the Public Records Review Committee of the Queensland State Archives, the Board of Commissioners of the Queensland Public Service Commission and a Director of St Rita's College Ltd.

## 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.

## Our Commission

**Table 7. Commission meetings from 1 July 2018 to 30 June 2019**

Commissioner	Position	Meetings attended	
		Ordinary meetings	PCCC meetings
Mr Alan MacSporran QC	Chairperson	11	4
Mr Sydney Williams QC	Deputy Chairperson	11	4
Mr Marshall Irwin	Ordinary Commissioner	10	3
Professor Anne Tiernan	Ordinary Commissioner	10	3
Ms Deborah Holliday	Ordinary Commissioner	9	3
<b>Ex Officio members</b>			
Ms Jen O'Farrell <sup>1</sup>	Chief Executive Officer	8	3
Ms Sharon Loder <sup>2</sup>	Senior Executive Officer (Crime), A/Senior Executive Officer (Corruption)	11	4
Mr Paul Alsbury	Senior Executive Officer (Corruption)	9	3
Ms Carolyn Bradley <sup>3</sup>	A/Executive Director, Strategy, Innovation and Insights, Executive Director, Strategy and Corporate Services	6	2
Detective Chief Superintendent Cheryl Scanlon APM	Executive Director, Operations Support	10	
Ms Angela Pyke <sup>4</sup>	Director, Financial Investigations	1	
Ms Sharon Raabe <sup>5</sup>	A/Director, Financial Investigations	9	2
Mr Rob Hutchings <sup>6</sup>	Director, Legal Services, A/Senior Executive Officer (Crime)	9	1
Dr Rebecca Denning <sup>7</sup>	A/Executive Director, Corporate Services, Director, Policy and Research	10	1
Mr Barry Adams	Director, Intelligence	9	

Notes:

1. Ms O'Farrell's attendance during the period 1 July 2018 to 23 August 2018 was in her capacity as Acting Chief Executive Officer.
2. Ms Loder's attendance during the period 10 June 2019 to 28 June 2019 was in her capacity as Acting Senior Executive Officer (Corruption).
3. Ms Bradley's attendance during the period 5 November 2018 to 31 March 2019 was in her capacity as Executive Director, Strategy and Corporate Services. From 1 April 2019, she attended in her capacity as Acting Executive Director, Strategy, Innovation and Insights.
4. Ms Pyke's resignation took effect 17 August 2018.
5. Ms Raabe's acting appointment as Director, Financial Investigations was from 13 August 2018 to 31 May 2019.
6. Mr Hutchings' acting appointment as Senior Executive Officer (Crime) was from 10 June 2019 to 28 June 2019.
7. Dr Denning's attendance during the period 1 July 2018 to 31 March 2019 was in her capacity as Director, Policy and Research. From 1 April 2019, she attended in her capacity as Acting Executive Director, Corporate Services.



# Our Executive Leadership Team

The Executive Leadership Team (ELT) supports the Commission by providing advice, leading discussions and making recommendations on strategic and operational matters critical to the CCC's performance. The Chairperson is a member of the ELT. Details of the other ELT members as at 30 June 2019 are provided below.

## Ms Jen O'Farrell Chief Executive Officer



LLB (Hons), BBus, BCom (admitted as a solicitor in 2008), GAICD  
Appointed on 24 August 2018

Responsible for the administration of the commission, including managing the overall operations and resources.

Jen has considerable experience in the public and private sectors, having held senior positions in Housing, Emergency Services, Transport and Main Roads and as a lawyer with Corrs Chambers Westgarth.

## Ms Sharon Loder Senior Executive Officer (Crime)



LLB, BBus, LLM (admitted as a Barrister-at-law in 2000), GAICD  
Appointed on 3 July 2017

Responsible for the Crime division that works to combat and prevent major crime, including organised crime, paedophilia, terrorist activity, serious crime and recovery of the proceeds of crime.

Sharon has held senior and executive positions in law enforcement or integrity commissions throughout Australia, working with the NSW Independent Commission Against Corruption (ICAC), the Queensland Crime and Misconduct Commission (CMC) and the QPS.

## Mr Paul Alsbury Senior Executive Officer (Corruption)



LLB, BBus, LLM (admitted as a Barrister-at-law in 2001), GAICD  
Appointed on 3 October 2017

Responsible for the Corruption division that works to raise the standard of conduct in the Queensland public sector and ensure that complaints about corruption are dealt with appropriately, including by investigating allegations of serious and systemic corruption.

Paul is highly experienced in the Queensland public service, with service with the Office of the Director of Public Prosecutions, the Department of Transport and Main Roads, and the QPS.

## Detective Chief Supt. Cheryl Scanlon APM Executive Director, Operations Support



B. Adult and Vocational Education, G.Cert Applied Management  
Appointed on 22 January 2018

Responsible for the Operations Support Unit, including witness protection, technical surveillance, physical surveillance and forensic computing.

Cheryl is a highly experienced police officer with the QPS and has been instrumental in driving significant government reforms in the area of child protection and social services before commencing with the CCC.

## Our Executive Leadership Team (ELT)



### Dr Rebecca Denning A/Executive Director, Corporate Services

B. Criminology & Criminal Justice (Hons), PhD, GAICD • Appointed on 17 February 2012

Responsible for the Corporate Services division that provides performance reporting, governance, financial management, business systems support, security, ICT, facilities and procurement services. Rebecca has extensive policy, research and management experience, having worked in State and Commonwealth agencies, predominantly related to the criminal justice sector.



### Ms Carolyn Bradley A/Executive Director, Strategy, Innovation and Insights

BCom/LLB(Hons), CA (admitted as a solicitor in 2009), GAICD • Appointed on 5 November 2018

Responsible for the Strategy, Innovation and Insights division that drives innovation, generates and turns insights into action, builds critical capabilities, and implements transformational change. Carolyn is a senior leader in strategic, operational, and cultural management and change, with over 14 years professional experience across multiple geographies and operating environments, including Deloitte.

## 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 CC 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.

## The role of the ELT

The ELT is responsible for:

- 1. Strategic oversight:** Understanding the CCC's operating environment, identifying strategic issues and steering the organisation towards achievement of strategic goals and objectives.
- 2. Corporate leadership:** Guiding strategic and operational activities, setting the tone for how things are done and driving good governance through oversight of the CCC's governance framework.
- 3. Portfolio assessment:** Setting priorities in alignment with strategic goals and objectives, approval of investigations and projects (including resource allocation). This also includes assessing complaints categorised as "High", in accordance with the Complaint Categorisation and Prioritisation Model.
- 4. Portfolio review:** Analysing business activity and optimising the focus of CCC investment by regular oversight of approved investigations and projects.

Some members of the ELT are also members of other CCC governance committees, specifically the:

- Budget Management Committee
- Organisational Safety and Wellbeing Committee

- Audit and Risk Management Committee (see page 73).

As members of these committees, they consider issues relating to resourcing, risk, quality assurance and business improvement.



# Our staff

The CCC employs a diverse mix of professionals including lawyers, accountants, investigators, researchers, intelligence analysts and support officers, and engages on secondment a cohort of police officers from the QPS. As at 30 June 2019, our workforce equated to 341.46 full-time equivalent (FTE) staff<sup>1,2</sup>. Compared with 30 June 2018, our FTEs have increased by 8.

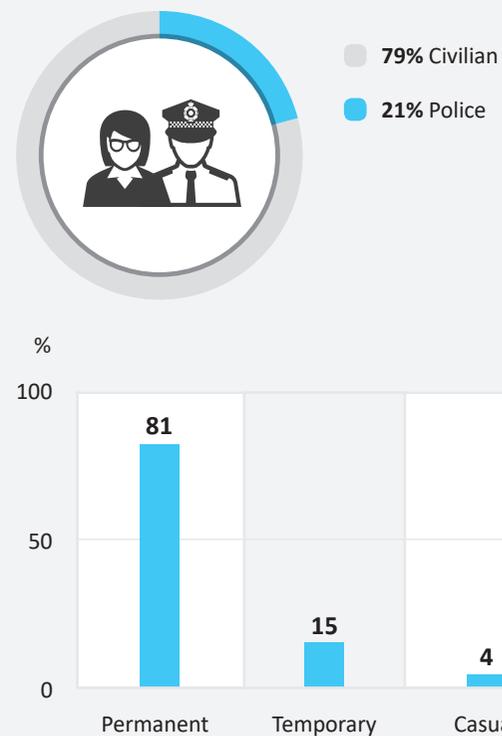
**Table 8. Full-time equivalents by division**

Division	FTE <sup>1</sup>
Corruption	75.65
Crime	58.08
Intelligence	41.59
Legal Services	22.59
Office of the Commission	10.00
Operations Support	53.90
Corporate Services	63.15
Strategy, Innovation & Insights	16.50
<b>Total</b>	<b>341.46<sup>2</sup></b>

Notes:

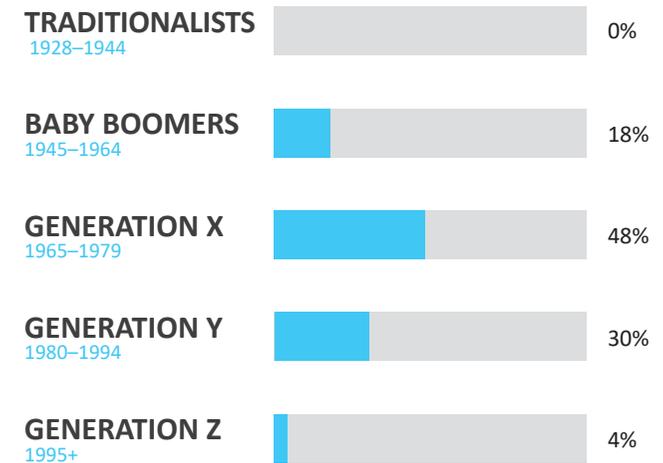
1. Full-time equivalent refers to all permanent, temporary and casual staff (including Commissioners).
2. FTE figures in this section are as at 28 June 2019. This differs slightly from the CCC's audited Financial Statements which include FTE figures as at 21 June 2019.

**Figure 3. CCC staffing**



**Figure 4. Generational groupings**

Our workforce spans across four of the five generational groups. The average age of our workforce is 43.8 years of age. This is consistent with the wider Queensland public service's reported average of 44.3 years (as at December 2018).



## Our staff

### Gender profile

The CCC's overall gender balance is currently 51.1 per cent women and 48.9 per cent men. Women comprise 59.9 per cent of our permanent, non-police workforce (See Figure 5).

Women fill 51 per cent of all positions at and above AO7 and equivalent classifications, and 44 per cent at the senior executive levels (which include Senior Executive Staff and Commissioners) (see Figure 6).

Figure 5. Civilian vs Police by gender

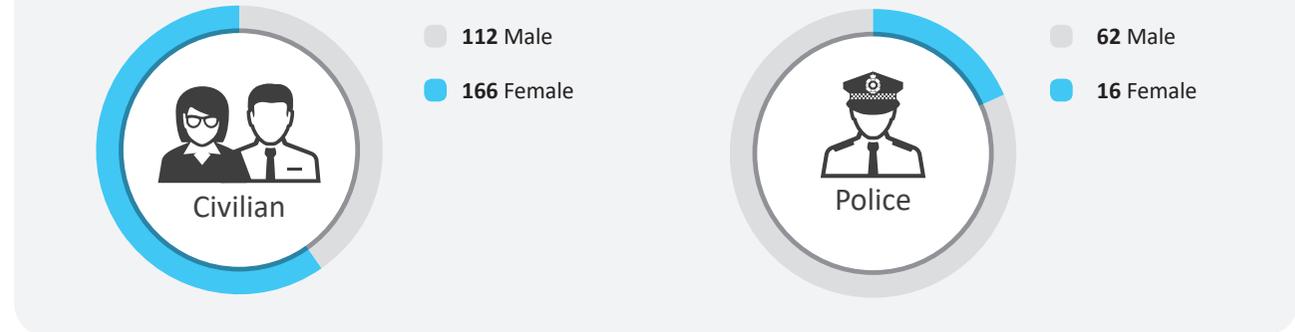
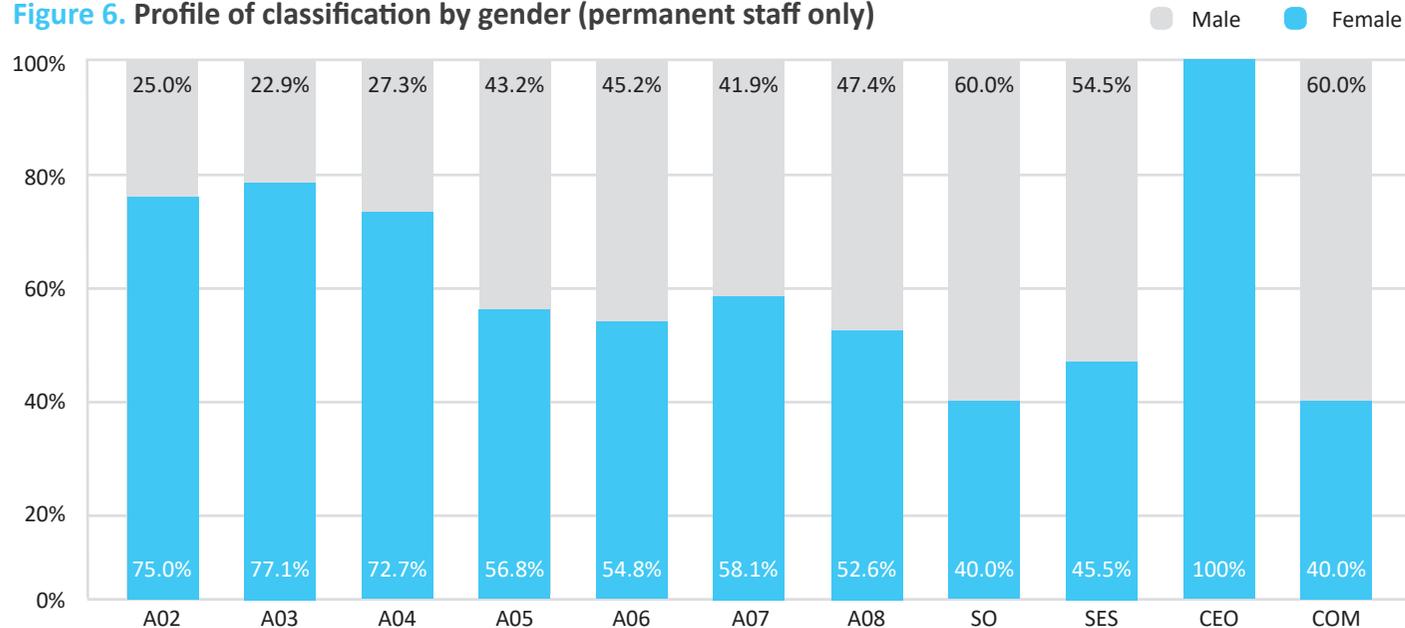


Figure 6. Profile of classification by gender (permanent staff only)



Notes:

1. AO data ranges include equivalent classifications.
2. Salaries range from \$46,428 (AO2) to \$250,038 (SES).



## Equity and diversity measures

Of our civilian workforce, 74 per cent are employed on a permanent basis. This is comparable with the wider Queensland public service's reported figure of 80.08 per cent (as at December 2018). In our workforce 0.5 percent identify as being from an Aboriginal or Torres Strait Islander background, 2.9 per cent are people living with a disability and 9.7 per cent identify as being from a culturally or linguistically diverse background (see Table 9).

## Staff retention

The permanent employee retention rate was 83.84 per cent in 2018–19 (compared with 89.24 per cent last year).

The permanent employee separation rate was higher compared to last year at 16.16 per cent (see Figure 7). This increase can be attributed to both natural attrition and labour market dynamics. An ageing population is likely to continue to impact separation as the 18 per cent of our workforce who are baby boomers continue to transition to retirement. Other factors that impact our separation rate include broader trends towards shorter tenure and increased mobility.

The CCC's long service rate is high, with 34.6 per cent of our permanent staff

having ten or more years service and a further 24.17 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.

## Supporting 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. New staff are provided with the CCC's Code of Conduct upon commencement and complete an eLearning module in their first week of employment. Existing staff complete regular refresher training. The CCC's Governance Framework also outlines the values, attitudes and behaviours expected of all CCC staff.

**Table 9. Equity and diversity profile**

Group	Percentage of permanent staff
Women	60*
Men	40*
Aboriginals and Torres Strait Islanders	0.5**
People with a disability	2.9**
People from non-English-speaking backgrounds	9.7**

\* Permanent civilian staff

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

**Figure 7. Staff separation**



Notes: 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 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.

## Our staff

### Workplace health and safety

The CCC maintains a comprehensive workplace health and safety program consistent with the *Work Health and Safety Act 2011*. In 2018–19, the CCC had 13 reported workplace health and safety incidents and two WorkCover claims (see Figure 8). The CCC also provided rehabilitation and return-to-work programs for staff where required.

### Wellbeing

The work of the CCC can sometimes be challenging, and we remain committed to enhancing the wellbeing of our staff. Wellbeing is a key issue, and we strive to ensure that our staff are happy, productive and motivated at work.

As part of the Wellbeing Plan for 2018–19, the CCC has:

- Hosted the inaugural “Health Start Day” in July 2018
- Hosted a Men’s Health Breakfast in November 2018. The breakfast provided an opportunity for three senior officers to share their strategies for mental wellbeing.

- Delivered staff education sessions on topics including positive communication in the workplace, creating financial wellbeing and mentally healthy workplaces, navigating emotionally difficult work environments, tackling difficult conversations, and maintaining motivation.
- Hosted a lunch in celebration of Harmony Day on 21 March 2019.
- Introduced a CCC Wellbeing Blog on topics relevant to staying physically and mentally fit and healthy.

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. Currently 59 per cent of CCC staff use at least one type of flexible work option with the most popular being flexible hours through accrued time, flexible start and finish times and telecommuting.

Since August 2017 the CCC has partnered with Converge International to provide our

Employee Assistance Program. Converge International supplies a confidential personal coaching and counselling service which can be accessed through self-referral or management referral. CCC staff can access up to four sessions per year (per issue) for themselves or an immediate family member. The CCC actively promotes the services of Converge International through the 1CCC Induction Program and published online materials. The CCC also maintains a regulated and proactive psychological assessment program provided by Advanced Personnel Management

Australia, for staff who perform duties that may impact their wellbeing.

### Consultative forum

The CCC engages with our people formally through a consultative committee with participation from both CCC staff and management. Both the CCC Chairperson and Chief Executive Officer are active participants of this committee which meets regularly to raise and discuss industrial or employee relations issues.

**Figure 8. Workplace incidents and WorkCover claims for CCC staff**



## Staff Induction

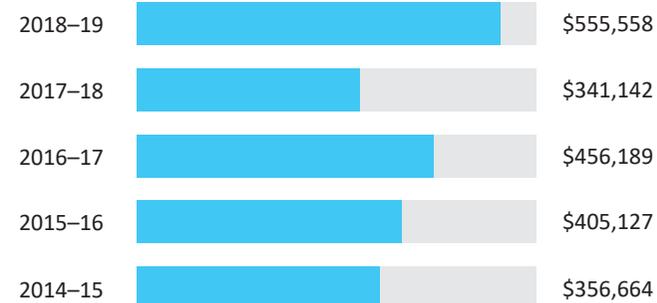
The CCC delivers a quality induction program to provide staff with the knowledge they require to do their job effectively, along with an understanding of how their role aligns with the priorities of the organisation. New staff receive comprehensive information about the 1CCC values, culture, and strategic and operational priorities when they first commence work at the CCC. During their first week, new CCC staff undertake a range of mandatory eLearning programs covering topics such as the code of conduct, workplace health and safety and information security. This is followed by a quarterly corporate induction program, hosted by the Values and Culture Group, which provides an opportunity to meet and hear from senior leaders across the organisation.

## Supporting staff development

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

To assist staff with their ongoing professional development and to ensure that specialist staff maintain and enhance their skills, CCC officers were given opportunities to attend a range of workshops, seminars and conferences on topics including government law, investigative interviewing, and leadership in intelligence. We also reimbursed 33 staff between 50 and 100 per cent of their professional membership fees.

**Figure 9. Training expenditure for developing CCC staff**



# Governance and oversight

The CCC's governance framework establishes the principles, behaviours and processes that guide our work. Good corporate governance not only supports good decision-making, it helps us identify ways to improve our business processes and internal culture.

Our governance framework includes the following elements:



## Leadership

We communicate a shared vision for the future and our decisions are guided by our strategic objectives



## Culture

We are a values-led agency and we work together to achieve results for the people of Queensland



## Expectations

We set clear expectations for all staff, supported by robust internal controls



## Risk management

We actively manage risk and maximise opportunities for improvement



## Service

We value our customers and use our resources to engage and innovate



## Performance management

We are accountable for our performance, as individuals and as 1CCC

## Risk management

The CCC recognises that risk management is integral to good governance and effective management. This year, the CCC supported a range of development opportunities including an intermediate risk management workshop for staff, and the formal accreditation of one of our staff as a Certified Practising Risk Manager with the Risk Management Institute of Australasia.

We also reviewed our strategic risks and considered opportunities to build risk management capability across the agency. Our strategic plan for 2019–23 now clearly identifies our strategic risks and opportunities.

In recognising the need to keep ahead of change, the CCC has been working to modernise its systems to support business improvement, safeguard its information assets, and embed a culture of compliance. Progress is being achieved through a number of initiatives including the ongoing development of a case management

system (Nexus) which is expected to improve agency responsiveness, build data analytics capability, and enhance investigation capabilities.

In tandem with Nexus, in March the CCC procured a new Governance, Risk and Compliance (GRC) system. The GRC will replace the use of Excel spreadsheets for managing risk, automate processes for monitoring risk and compliance actions, and provide enhanced reporting. The GRC project team has been working with the supplier to tailor the system to our requirements. This new system is to be rolled out in the first half of the 2019–20 financial year. It is expected that the GRC will reduce risk through increased compliance, improved risk treatment and reporting, and enhance the agency's overall risk posture.

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## What are our strategic risks moving forward?

In order to meet our objectives we will manage strategic risks and promote opportunities to strengthen our capabilities by:

### Keeping ahead of change:

Modernising our systems and adapting our organisational agility to innovate and lead change

### Actively engaging with our stakeholders:

Working in partnership with others to inform, educate and empower our key stakeholders

### Maintaining effective governance:

Growing a strong governance culture to support compliance and safeguard our information assets

### Future-proofing our workforce:

Empowering our people to develop critical capabilities and to live the CCC values

### Promoting a safe work environment:

Actively supporting a safe and healthy work environment

## Risk Maturity Assessment

In 2018 the Queensland Audit Office (QAO) conducted a risk maturity assessment of the CCC's risk management framework. The final report was provided to the CCC in early 2019.

The assessment included a high-level review of the CCC's risk management documentation, including policies, procedures and underlying documents such as risk registers.

The report outlines the QAO's findings and recommendations for improved risk management maturity against the six key attributes of risk management within the QAO risk management maturity model.

The findings rated the current state of maturity for the CCC risk management process as between "Developing" and "Established".

The QAO's report was provided to the Audit and Risk Management Committee (ARMC) in March 2019. Recommendations made by the QAO were accepted by the ARMC. Work to action the recommendations will commence in 2019–20.

## Security framework

### Information security

On a global scale, threats to confidential information held by agencies is growing, with cybercrime and attacks increasing in frequency. Within this context, effective information security is fundamental to the management and protection of information, and must be integrated into routine business activities. In 2018–19, the CCC developed a new Information Security Management Framework. The framework is built around the concept of continuous improvement and aligns with the Queensland Government's Information Security Policy (IS18:2018) and the international Information Standard ISO/IEC 27001. The framework identifies policies and processes to manage information security risks and threats, and outlines the specific roles and responsibilities of all staff. The framework addresses the governance and management of ICT and information assets, services and infrastructure. Work to achieve compliance with IS18:2018 will continue in 2019–20.

This year, the CCC also reviewed its information security classification policy. The policy ensures that staff are made aware of their obligations to correctly classify documents so that information is labelled, handled and protected in an appropriate

manner throughout its lifecycle. In 2019–20, the CCC will roll out staff training on information security and classification.

## Audit and Risk Management Committee

The ARMC provides independent assurance on risk, internal controls, compliance with legislative and regulatory requirements, and the financial management of the CCC. The ARMC is a five-person committee consisting of the CEO (the Commission's nominee), two internal members and two external members, one of whom is the Chair (see Table 10, page 74). The Chairperson is an ex officio member of the committee. The CCC Internal Auditor and representatives from the QAO have standing invitations to attend ARMC meetings. The ARMC observes the terms of the ARMC charter and has due regard to Queensland Treasury's Audit Committee Guidelines.

During 2018–19 the ARMC provided strategic advice and oversight of:

- the integrity of the CCC's financial statements and internal controls
- compliance with legislative and regulatory requirements
- internal risk management process (as per the previous section on Risk Maturity Assessment)

- fraud and corruption control systems
- business continuity
- the performance of the internal audit function.

Meetings were held on a quarterly basis.



## Risk Management frameworks

The CCC has a number of frameworks to assist us in making risk-informed decisions to support the strategic and operational work of the agency.

These include the CCC's:

- Risk Management Framework (aligns to the ISO 3100:2018)
- Fraud and Corruption Control Plan (aligns to AS 8001-2008)
- Information Security Management Framework (aligns QG IS18:2018 and ISO/IEC 27001)

A review of the Risk Management Framework and policies will occur during the implementation and embedding of the GRC into business processes.

## Our governance framework

**Table 10. Membership of the ARMC**

Name	Position	Meetings attended
Mr Peter Dowling AM <sup>1,2</sup>	Chair (external)	1
Mr Mike Meintjes <sup>1,2,3</sup>	Chair (external)	4
Mr Bruce Barbour <sup>1,2</sup>	External member	4
Ms Jen O'Farrell	CEO	4
Ms Sharon Loder	Senior Executive Officer (Crime)	4
Mr Rob Hutchings	Director, Legal Services	2
Mr Geoff Kennedy <sup>4</sup>	A/Director, Legal Services	2
<b>Ex officio members:</b>		
Mr Alan MacSporran QC	Chairperson	2
<b>Invitees:</b>		
Mr Brendan Clarke	CCC Internal Auditor	4

Notes:

1. Mr Dowling, Mr Meintjes and Mr Barbour were remunerated \$2,000, \$7,250 and \$5,000 respectively.
2. The meeting of 20 August 2018 was chaired by Mr Dowling prior to the end of his term on this date. While all three external members attended this meeting, Mr Barbour's attendance was as an observer with no voting rights.
3. Existing committee member Mr Meintjes commenced as Chair on 21 August 2018.
4. Mr Kennedy's acting appointment as Director, Legal Services was from 26 November to 11 December 2018 and 27 May 2019 to 28 June 2019; in this capacity he attended two meetings.

## Internal audit

The internal audit function forms part of the CCC's governance and assurance framework, operating independently of the activities it reviews. The Internal Auditor provides independent advice and assurance to the CCC's executive and the ARMC regarding the effective and efficient use of CCC powers, assets and resources. The Internal Auditor is a qualified FCPA, accredited member of the Institute of Internal Auditors, Government Certified in Fraud Control and a graduate of the Australian Institute of Company Directors.

All audits are risk-based, comprising legislative and financial compliance audits, performance audits, project audits and information technology audits, to ensure that areas of highest risk are addressed in annual internal audit plans. The Internal Auditor reports directly to the Chief Executive Officer and the internal audit function operates under its own charter to ensure that the CCC's policies, 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. 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:

- Vic Roads audit (Information Protection Agreement 2018–19).
- IT external vulnerability testing of the CCC's network
- business continuity plan
- accounts payable and procurement processes
- complaints management.

The Internal Auditor also prepared a three-year Strategic Internal Audit plan and an Annual Internal Audit plan for 2019–22 and 2019–20 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 laws. In 2018–19 the CCC received an unqualified audit report.



## Managing our records

The CCC is committed to responsible management of records in line with the requirements of the *Public Records Act 2002*, and the Queensland State Archives' (QSA) Records Governance Policy and approved Retention and Disposal Schedules. We regularly review our records management systems and processes to ensure they are compliant and contemporary.

During the past year we have made a number of changes to our recordkeeping systems, procedures and practices to implement the requirements of the Records Governance policy, which was released in June 2018. We updated existing policies and procedures and introduced two new policy documents. The Vital Records policy and procedure provides guidance on identifying, managing securing and accessing vital records of the CCC. The Metadata Management procedure supports the discovery, administrative control, security, rights management, preservation and use of information that the CCC holds.

We also continued our efforts to promote training and awareness to assist staff understand their record keeping responsibilities. Incoming staff to the

CCC undertake a mandatory eLearning module on Introduction to Recordkeeping. Online records management training is also available to all staff and our Records Management team deliver personalised, one-on-one eDRMS training as required. A new eLearning module on recordkeeping awareness (adapted from the QSA training module) has also recently been developed which will require staff to complete mandatory training on an annual basis.

This training will be rolled out in the first quarter of 2019–20 during which we will also support the changes to the information security classification policy. For more detail, refer page 73.

## Retention and disposal of records

The CCC's records are retained in accordance with retention and disposal schedules approved by QSA. In 2018–19, the CCC continued to identify and destroy files, folders and storage containers following a period where the destruction of CCC records was held in abeyance. Our efforts in the past year focused on progressing the destruction of a large volume of Corruption complaints files and administrative files. This multi-year project is due for completion in 2019–20.

## Supporting increased digital recordkeeping

In 2018–19 the CCC continued to integrate eDRMS functionality into the CCC's operational processes, in support of our aim to build a digital workplace and reduce reliance on paper-based processes. System enhancements and cooperative software have been embraced to assist CCC staff to move towards a paper-lite workplace.

To assist in the transition to a more digitised approach to recordkeeping, in March 2019 the CCC introduced a Digitisation and Disposal of Records policy and procedure. This policy and procedure reduces the burden that paper-based records place on storage, increases efficiencies across operational areas and enables us to digitise and dispose of physical source public records in a way which complies with the *Public Records Act 2002* and the QSA Records Governance Policy.

## Assessing our maturity level

In June 2019 the CCC completed the Building Digital Capability – Records Governance Policy Baseline Survey supplied by the State Archivist. As a voluntary self-assessment tool, the survey assisted the CCC to assess its records and information management maturity against

the minimum requirements of the new QSA Records Governance Policy. The CCC assessed its maturity level to be in the category of "Acceptable/Managed".

## Sustainability and resource management

The CCC is located in the North Tower, Green Square Complex, Fortitude Valley, and was the first office development to achieve a 6-star Greenstar Office Design rating from the Green Building Council of Australia. It was the first commercial building in Australia to be awarded a 5-star NABERS (National Australian Built Environment Rating System) whole building energy rating. Green Square was built using recycled steel and plantation timber, and its overall environmental impact has been reduced through its optimised building orientation and its energy-saving technology.

In 2018–19 we remained committed to reducing our environmental impact by:

- Introducing consolidated waste collection points within our facilities, with larger waste receptacles located at strategic locations for staff to deposit their own office waste. This measure significantly reduced the number of waste bin liners we use.

## Our governance framework

- Supplementing paper towel dispensers in bathrooms with air hand dryers. This measure has significantly reduced the volume of single-use paper towels we use.
- Our ongoing use of a waterless car-washing facility. This allows us to keep the vehicle fleet in a presentable state without using any water or detergents.
- Introducing an electronic vehicle booking and trip logging system which removed the need to maintain paper log sheets in our vehicles, saving paper and reducing the time taken to accurately record vehicle use.
- In-house paper shredding, allowing us to recycle all waste paper rather than sending it off-site for destruction.

Initiatives planned for 2019–20 include:

- Investigating the feasibility of replacing sections of ceiling lights with LEDs to reduce electricity usage and improve internal lighting.
- Working with our fleet provider to investigate the feasibility of replacing existing light vehicles with electric or hybrid vehicles as leases are renewed.

- In conjunction with building management and other tenants, introduce an organic waste recycling system to our office.

## 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 the 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 2018–19 the CCC met formally with the PCCC four times in both public and private meetings to discuss our current activities and performance.

### Parliamentary Crime and Corruption Commissioner

The PCCC is assisted in its oversight process by the Parliamentary Crime and Corruption Commissioner, who investigates complaints against the CCC or our 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 2018–19 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
- inspected the telecommunications interception records
- reviewed intelligence data held by the CCC.

Where issues were raised by the audits and inspections, the CCC took appropriate action to address those issues. For information on audit reports see “External audits of our warrant records” on page 78.



## Ministerial oversight

As required by section 260 of the CC Act, the CCC provides six-monthly reports on the efficiency, effectiveness, economy and timeliness of our systems and processes to the Minister. The CCC also provides budget information to the Minister.

## Public Interest Monitor

The Public Interest Monitor must ensure the CCC complies with the CC Act, the *Police Powers and Responsibilities Act 2000* and the *Telecommunications Interception Act 2009* (TI Act) (Qld). This includes examining the CCC's applications for covert search warrants and surveillance warrants.

## 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.

## Crime Reference Committee

The Crime Reference Committee is a committee established under Part 2 of Chapter 6 of the CC Act to oversee the general conduct of the performance of the CCC's functions in relation to major crime and specific intelligence operations. The CCC's jurisdiction for major crime investigations and intelligence operations is enlivened by way of referrals or authorisations made or approved by the Committee. The members of the Crime Reference Committee are the:

- CCC Chairperson – chair of the committee
- Commissioner of Police
- Principal Commissioner, Queensland Family and Child Commission
- Senior Executive Officer (Crime)
- Two community representatives appointed by the Governor-in-Council upon the recommendation of the Minister.

The Senior Executive Officer (Corruption) is also a member of the Committee if it is considering whether to authorise an intelligence operation relating to suspected corruption.

Following changes to section 278 of the *Crime and Corruption Act 2001* on 9 November 2018, the CCC Chairperson became chair of this committee (previously held by the Senior Executive Officer (Crime)).

## 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 CCC or the QPS.

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 CCC Chairperson 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 CCC Chairperson may approve the application without referring it to the committee, but must first

contact the independent member and obtain his agreement.

## Evidence Act 1977

Section 21KG(1) of the *Evidence Act 1977* also requires the CCC to include in our annual report information about witness identity protection certificates given by the CCC Chairperson and the Commissioner of the Queensland Police Service. Eleven certificates were given by the Commissioner of Police on the basis that he was satisfied that disclosure of the operative's identity had the potential to lead to safety concerns. No certificates were given by the CCC Chairperson.

## Our governance framework

### External audits of our warrant records

Both the Commonwealth Ombudsman and Queensland's Parliamentary Crime and Corruption Commissioner conduct inspections of the CCC's warrants records.

The Parliamentary Commissioner continues to report favourably in relation to the CCC's procedure on obtaining telecommunication interception warrants and managing telecommunications interception warrant information. In a report dated November 2018 the Parliamentary Commissioner noted that the CCC was compliant in its record

keeping functions under ss 14 and 15 of the *Telecommunications Interception Act 2009* (Qld).

In June 2019 the CCC identified that reports for named person telecommunications interception warrants were not being completed as required by s 94B of the *Telecommunications (Interception and Access) Act 1979* (Cth).

The Minister for Home Affairs and the Parliamentary Commissioner have been notified by the CCC of this non-compliance and remedial action is being undertaken.

In August 2018 the Commonwealth Ombudsman provided the CCC with a draft

report regarding their May 2018 inspection of the CCC's records in relation to stored communications for the period 1 July 2016 to 30 June 2017. The CCC has adopted suggestions made by the Commonwealth Ombudsman regarding amendments to the revocation process for preservation notices. The Commonwealth Ombudsman found that the CCC has sufficient procedures in place to achieve compliance with the destruction provisions of the *Telecommunications (Interception and Access) Act 1979* (Cth). The Commonwealth Ombudsman noted that the CCC displays a strong compliance culture.

In January 2019 the Commonwealth Ombudsman conducted an inspection

of the CCC's records in relation to telecommunications data for the period 1 July 2017 to 30 June 2018. In June 2019, the Commonwealth Ombudsman provided the CCC with a draft report regarding their inspection. The Commonwealth Ombudsman provided suggestions where the CCC's record keeping procedures could be improved. In response to the suggestions, the CCC has updated forms relating to access to telecommunications data. The Commonwealth Ombudsman noted that the CCC has good processes for ensuring that telecommunications data is used and disclosed in accordance with the *Telecommunications (Interception and Access) Act 1979* (Cth).

**Table 11. Use of our powers 2018–19<sup>1</sup>**

Description	Crime		Corruption	Proceeds of crime
	Investigation	Intelligence		
Notices issued to attend hearing	280	57	51	n/a
Notices to produce	82	n/a	n/a	384
Search warrants	30	0	21	n/a
Notices to discover information	n/a	n/a	310	n/a

Notes:

1. Refers to notices and warrants authorised by the Chairperson or delegate.

