Attachment 2: Operating Model Governance Arrangements

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Operating Model Governance Arrangements

March 2022

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1. Operating model

1.1 Overview

The Operating Model describes the way that the Crime and Corruption Commission (CCC) approaches its business and includes the guiding principles for the way that operational activities are undertaken.

The Operating Model encompasses the following:

- CCC value chain – the process and activities through which the CCC creates and delivers value
- activity groups that deliver actions, products and services
- phases of activity undertaken throughout the lifecycle of the CCC's operational activities
- governance oversight systems and structures that ensure value is delivered to the CCC's customers and stakeholders.

1.2 Operating Model Lifecycle

The Operating Model Lifecycle (Figure 1) describes the relationship between the purpose and legislated functions of the CCC and its operational activities.

Figure 1:

OPERATING MODEL – LIFECYCLE

Crime and Corruption Commission QUEENSLAND

PORTFOLIO

Continuous Improvement

Value Chain

- **FOCUS:** Legislated Purpose, Functions, Strategic Priorities
- **GOALS:** Targets, Performance Measures
- **OPERATIONS:** Operational and Support Activities
- **OUTCOMES:** Benefits, Progress, Reforms
- **PERFORMANCE:** Evaluation, Results, Reporting
- **LEARNINGS:** Recommendations

OUR STRATEGIC FOCUS (We **plan** as **one**)

MAKING IT HAPPEN (We **deliver** as **one**)

ANALYSIS (We **celebrate** as **one**)

IMPROVEMENT (Together we **achieve** great things)

Strategic Planning — Strategic Planning / Strategic Planning

Portfolio Assessment — Opportunity assessment

Portfolio Review — Resource planning and activity forecasting

OPERATIONAL

MATTER STAGES

ASSESSMENT	FEASIBILITY	DELIVERY	POST-DELIVERY	BENEFITS ASSESSMENT

Investigations — Into: criminal activity, corruption and related activity, confiscation

Projects — About: research, prevention, intelligence, procedural improvement, transformational, audit and analysis

Witness Protection — Undertakes: protection of witnesses and their identities

Received → Registration and matter - Triage → Action Matter

Assessment: Commence > Finalise

Investigations/Projects: Commence > > > Finalise

Closure

Not all phases (or components thereof) relate to each operational activity.
An activity may be paused at any point to await further information, external activity, monitoring of activity etc.
The operational lifecycle provides for review, change, and repetition of steps and phases as the activity progresses.

SUPPORT

Legal	Analytics	Investigative	Evidence Management	Specialist Technical

CORPORATE

Legal	Corporate Communications	Finance & Tax	Procurement and vendor	Digital and ICT
Human Resources	Asset Management	Security	Records Management	Risk and Compliance

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Activity Groups

The Lifecycle includes four key activity groups:

- Portfolio
- Operation
- Support
- Corporate.

The **portfolio activities** of the CCC encompass the operational governance and management work of the Senior Officers of the CCC. They are responsible for the development and implementation of the Strategic Plan, assessing emerging issues and opportunities, and the approval and review of consequential operational activities.

The Portfolio Strategic Planning process occurs at the beginning and at the end of the Operating Lifecycle. It is where 'We Plan as One' and where 'Together we Achieve Great Things'. The strategic planning process takes into account the purposes of the CCC, its functional responsibilities, and its strategic priorities as determined by legislation, government policy and the priorities set by the Commission and oversight bodies. Through the strategic planning process we evaluate the performance of the CCC and incorporate learnings back into the planning cycle.

- The *Portfolio Assessment* process translates the strategic plan to assess emerging issues and opportunities and determine which should progress as operational activities. Forward planning and scheduling of priority operational activities ensures that they are resourced and targeted.
- The *Portfolio Review* process evaluates the progress and performance of operational activities as they are undertaken, to ensure that they are capable of delivering the desired outcomes. The process also plays a leading role in post-delivery reviews.

The **operational activities** of the CCC represent the core business and frontline work of the CCC. Three types of operational activities are undertaken in the CCC:

- *Investigations* into criminal activity, corruption and related activity[1] and confiscation
- *Projects* about research, prevention, intelligence, procedural improvement, audit and analysis, and transformational programs and projects
- *Witness protection* undertakes protecting witnesses and their identities.

Support activities are undertaken to facilitate the effectiveness of the operational activities and are essential to successful execution. However, they are not undertaken as a CCC function for their own independent outputs. The specific expertise inherent in these activities is drawn upon at different stages of each type of operational activity.

Corporate activities support operational activities and strategy implementation.

Value Chain

The CCC delivers value to:

- clients (entities with whom it undertakes transactions)
- customers (entities to whom it provides services)
- stakeholders (entities who have an active or material interest in the outcomes of the CCC).

[1] Corruption related activity includes monitoring of matters by the CCC.

The Value Chain indicates *how* the CCC engages the 1CCC way of working[2] and involves six steps:

For example:

- 'We Plan as One' by maintaining a focus on our legislated purposes and strategic priorities and setting realistic, achievable and measurable goals and targets.
- 'We Deliver as One' by taking those goals, targets and related performance measures and applying them to our operational and support services to ensure that they are focused on the delivery of real outcomes that deliver benefits to the Queensland community.
- 'We Celebrate as One' by recognising and celebrating our results and our collective achievements.
- 'Together we achieve great things' enables us to take pride in our work and apply lessons learned into our Operating Model as continuous improvement.

Phases

The operational activities undertaken by the CCC progress through distinct phases. There are five phases identified:

Phase	Description
Assessment	Opportunities for or the need to commence the investigation or project are considered, assessed and determined.
Feasibility	The business justification for the investigation or project is considered in more detail, and the scope is outlined in a high-level delivery plan.
Delivery	The investigation or project proceeds through one or more incremental steps, each involving cycles of planning, exploration and adaption, until anticipated outcomes are identified or delivered.
Post-Delivery	Outcomes arising from the project are implemented and their progress monitored.
Benefits Assessment	No further activities are being undertaken but the benefits of the investigation or project may be assessed and continue to be realised.

Not all phases (or components thereof) relate to every operational activity. Some activities go into great detail in some phases, whereas others pass quickly through them or bypass particular phases. This flexibility is broadly governed by business rules that reflect legislative requirements and operational reality. For example, an 'immediate response' activity in a crime investigation may not involve a discrete feasibility phase as that consideration may be undertaken as part of the assessment phase.

[2] The CCC Intranet provides details about the 1CCC way of working.

Also, an activity may be paused at any point to await further information or external activity, and assessment of that activity. The model allows operational flexibility and agility to pause and resume activities without losing continuity.

The operational lifecycle provides for regular review, change, and repetition of steps within phases as the activity progresses.

Although identified as an operational activity, witness protection is subject to different oversight and governance arrangements to those in place for investigations and projects. The WPAC assesses, evaluates and makes recommendations and/or directions in relation to witness protection matters (e.g. the WPAC assesses applications for protection), provides recommendations and strategic advice to the CCC Chairperson for decision-making, and advises the Commission of significant financial implications in the provision of protection.

1.3 Relationship with the Operational Framework

The CCC's Operational Framework has been established in tandem with the Operating Model and articulates a set of consistent standards that address how incoming matters (i.e. operational activities) are identified and managed throughout their lifecycle.

2. Governance Arrangements

2.1 Overview

Effective governance is a critical component of the Operating Model. While good governance is embedded across all stages of the Operating Model Lifecycle, the Executive Leadership Team (ELT) plays an important leadership role with respect to developing and implementing strategy, coordinating resources and evaluating performance.

Further information on how the ELT considers and reviews matters as part of its portfolio assessment and review functions is included under the ELT committee charter, and *Part 2: Matter Management* of the CCC's Operations Manual[3].

Operational oversight of the witness protection function is the responsibility of the Witness Protection Advisory Committee (WPAC). In addition to its role in assisting the Chairperson, the WPAC has a monitoring and review function which ensures witness protection is provided in accordance with the *Witness Protection Act 2000* (Qld). The WPAC's governance functions are incorporated into its committee charter.

2.2 Management of matters

The governance of a matter (throughout its lifecycle) is represented on the following page (refer to **Figure 2**). The figure describes the ELT's functions of Portfolio Assessment and Portfolio Review and how these relate to the delivery of operational activities.

The ELT's involvement in assessment and review of operational matters is intended to ensure that the ELT can coordinate resources and monitor operational activity to ensure ongoing feasibility of operations and delivery of intended outcomes.

Governance deliberations and decisions by the CCC are subject to strict legislative and policy guidelines addressing areas such as assessment processes, assessment decisions, referrals, public interest disclosures, and the receiving and recording of information.

[3] Published in the CCC's Governance, Risk and Compliance (GRC) system.

Figure 2:

Portfolio Governance Arrangements

Crime and Corruption Commission QUEENSLAND

MAKING IT HAPPEN (We **deliver** as **one**)

ANALYSIS (We **celebrate** as **one**)

IMPROVEMENT (Together we **achieve** great things)

Assessment Phase	Feasibility Phase	Delivery Phase	Post-Delivery Phase	Benefits Realisation Phase

Portfolio

ELT: Portfolio Assessment
Jurisdiction, scope, relevance, risk, resource allocation, outcomes, prioritisation

ELT: Portfolio Review
Continue, modify, cease

Chairperson

Assessment decision — NFA

Assessment decision — NFA

Review — **Review**

Evaluation

Evaluation (may refer to ELT Portfolio Assessment for consideration)

Operational environment

Witness Protection Advisory Committee (WPAC) — NFA

Remainder of High Complaints Committee (ROHCC)

Early Assessment Briefing Group

Crime Pre-Assessment Committee (CPAC)

Triage Prioritisation Models

Information about potential projects

Information about potential investigations

Receipt → **Register** → **Assess** → **High** / **Low** — NFA

Medium

Triage Business Rules

Project Planning
Feasibility
Skills Identification
Resource Forecasting

Delivery Managed as a project — NFA

Diverse Delivery Pathways

Project Commencement

Project Finalisation

Review and Analysis

Project Closure

Recommendations Continuous improvement

Monitoring

Monitoring — **Reporting** — NFA

Monitoring — **Reporting**

External environment

Crime Reference Committee (CRC)

UPA Action

Key
- Corruption only
- Crime only
- Witness Protection only
- No further action

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2.3 Portfolio Assessment

At Portfolio Assessment the CCC balances strategic risks, opportunities and priorities with a view to ensuring that only those matters that are of potential value in delivering the CCC's strategic objectives are selected for investigation by the CCC.

Throughout the processing and assessment of information about potential investigations and projects, the details and decisions are captured in the CCC's case management system, providing a comprehensive audit path.

The CCC has written procedures about how information concerning potential investigations and projects is assessed and the process to initiate a matter (refer Operations Manual) or project.

Assessment (including triaging process)

Once information about potential investigations and project is received and recorded, it is triaged at the operational level to determine the appropriate assessment and oversight path. Business rules and risk matrices relevant to the type of matter being considered guide this triaging and are designed to ensure the assessment process and assessment decisions:

- take into account all relevant legislative requirements and considerations
- are coherent, consistent, objective and ethical
- are as transparent and accountable as possible
- reflect an efficient and effective use of the CCC's resources
- are appropriate having regard to the objectives and priorities of the CCC.

The *Complaint Categorisation and Prioritisation Model* (CCPM) guides the assessment and prioritisation of corruption matters.

Complaints or information about alleged corruption that have been assessed as 'Low' or 'medium' are referred directly to the relevant entity or Unit of Public Administration (UPA) for their attention, either with no further action or monitoring by the CCC.

Corruption matters categorised as 'High' are triaged to determine whether the matter should be referred to the Remainder of High Complaints Committee (ROHCC) or ELT Portfolio Assessment for an assessment decision. The Early Assessment Briefing Group also meets on an ad-hoc basis to consider High complaints which, because of their nature, need decisions made quickly.

The *Matter Prioritisation Model* guides the assessment and prioritisation of crime matters. An initial assessment is undertaken by the Crime Pre-Assessment Committee (CPAC) prior to a matter being referred to the ELT Portfolio Assessment.

Proposals for research, prevention, intelligence and other projects, once registered are submitted to the ELT Portfolio Assessment with an accompanying project proposal prepared by the project proponent following the necessary consultations.

ELT (Portfolio Assessment)

As outlined above, to deliver its Portfolio Assessment responsibilities the ELT requires matters to be triaged and briefs prepared using the CCC's Portfolio Assessment Methodology, prior to consideration.

The ELT (Portfolio Assessment) delivers these governance functions by:

- determining the prioritisation of matters, including assessing which investigations and projects become part of the ongoing work program
- considering and advising on policy, transformational, research and intelligence projects required to support the CCC's legislated purposes and functions
- considering resource commitments.

The ELT (Portfolio Assessment) may determine that a matter requires no further action or should be referred to the relevant unit of public administration (UPA) for action (in relation to corruption matters). Otherwise the ELT will allocate a Project Lead, the necessary resources to progress to the next phase in the Operating Model lifecycle and incorporate the matter into the ongoing work program. Some matters may be referred back to the operational area for additional assessment or further information.

The ELT may invite subject matter experts to the assessment meeting to elaborate on the briefing and assist with deliberations.

Outside of the arrangements detailed above, the Crime Reference Committee (CRC) and Joint Assessment and Moderation Committee (JAMC) continue to consider matters according to their legislative functions and/or terms of reference.

2.4 Portfolio Review

The ELT is the body that oversees, reviews and monitors investigations and projects that have been approved for implementation and are in the Feasibility, Delivery, Post-Delivery or Benefits Realisation phases.

The ELT (Portfolio Review) delivers these governance functions by:

- approving high-level plans (feasibility and delivery) and key decisions for matters
- coordinating resource commitments (e.g. assigning or re-assigning project leads and reviewing resource forecasts)
- overseeing and reviewing matter progress (scope, time, resource use, budget, risks, issues and outcomes)
- monitoring performance of operational activity against plan/s
- monitoring the progress of matters referred to UPAs for action
- ensuring the scope and way in which a matter is being undertaken continues to represent the best value for CCC.

At the end of the Feasibility phase, the ELT will determine whether the investigation or project is to transition to the Delivery phase, and approves the scope, high level delivery plan and resources necessary to progress the investigation or project.

Milestone reviews and project progress reviews are conducted at regular intervals during the Delivery phase.

The CCC has performance measures to monitor the investigations and projects it undertakes. Key performance measures[4] include but are not limited to:

- efficiency measures
- quality measures

[4] Refer to the CCC Operational Framework.

- effectiveness measures.

Reviews occur at regular times during the Delivery phase. The project lead is responsible for providing progress reports to the ELT (Portfolio Review) detailing performance against the agreed performance measures for the investigation or project and identifying risks and issues. At each review, the ELT will determine whether the investigation or project is to continue, or if its objectives or approach need to be changed to provide the CCC with the best return on its investment.

3. Metadata

Responsible officer:	Manager, Risk and Compliance	Accountable officer:	A/Executive Director, Strategy and Performance
Date approved:	15 March 2022	Review date:	15 March 2025

4. Appendix A – CCC committee membership

CCC committee membership

Position	Governance Committee	Operational Committees			External Committees	
	ELT	CPAC	ROHCC	WPAC	CRC	JAMC
Chairperson	Chair	-	-	-	Chair	Observer
Chief Executive Officer (CEO)	M	-	-	M	-	-
Senior Executive Officer, Crime	M	-	-	-	M	-
Senior Executive Officer, Corruption	M	-	Co-Chair	-	-	-
General Manager, Operations Support	M	-	-	Chair	-	-
General Manager, Corporate Services	M	-	-	-	-	-
General Manager, Strategy, Innovation and Insights	M	-	-	-	-	-
Executive Director, Crime Operations	-	Chair	-	-	-	-
Executive Director, Crime Hearings & Legal	-	M	-	-	-	-
Director, Crime Operations	-	M	-	-	-	-
Manager, Crime Strategy	-	M	-	-	-	-
Director, Proceeds of Crime	-	M	-	-	-	-
Director, Research and Insights	-	M	-	-	-	-
Executive Director, Integrity Services	-	-	Co-Chair	-	-	-
Executive Director, Corruption Strategy, Prevention & Legal	-	-	M	-	-	-
Executive Director, Corruption Operations	-	-	M	-	-	-
Director, Assessment	-	-	M	-	-	Chair
Director, Reviews						M
Manager, Assessment Unit	-	-	M	-	-	-
Senior Review Officer	-	-	M	-	-	-
Director, Operations Support	-	M	-	M	-	-
Director, Litigation and Advocacy	-	-	-	M	-	-
Officer in Charge, Witness Protection Unit	-	-	-	M	-	-
Notes: M= Member						