

Corporate Governance Framework 2011–2015

Strengthening our commitment to
performance improvement



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Director-General's message

The Department of Education and Training (DET) Governance Framework, which is based on best practice for public sector governance, sets out the standards of accountability and transparency expected of government by our many stakeholders and the people of Queensland. The overall aim of the framework is to drive performance improvement while meeting our obligations and legislative requirements.

The framework outlines the principles, elements and mechanisms used in our department to support a focus on effective governance through strong leadership, responsible and ethical decision-making, management and accountability, and performance improvement.

Corporate governance arrangements must continually evolve to ensure that organisational and service delivery objectives are met effectively, efficiently and transparently. Accordingly, the DET Governance Framework will be reviewed annually, or as required to support change to the department's strategic priorities or major departmental structural realignment. However, the fundamental principles of good governance outlined in this DET Governance Framework will be maintained.

As government employees, we have a duty to carry out our activities according to required practice, and to do so with the objectives for our students, parents and stakeholders in mind. I ask that you use this framework to assess the strengths and weaknesses of current practice, and improve it so that our stakeholders can have ongoing confidence in this department's commitment to deliver its services responsibly.

Julie Grantham
Director-General
Department of Education and Training

Queensland Department of Education and Training Governance Framework

Definition of governance

Public sector governance covers:

*... the set of responsibilities and practices, policies and procedures, exercised by an agency's executive to provide strategic directive, ensure objectives manage risk and use resources responsibly and with accountability.*¹

It also encompasses the important role of leadership in ensuring that sound governance practices are instilled throughout an organisation, and the wider responsibility of all public servants to apply governance practices and procedures in their daily work.

Good governance is about both:

- **performance** — how an agency uses governance arrangements to contribute to its overall performance and the delivery of goods, services or programs
- **conformance** — how an agency uses governance arrangements to ensure it meets the requirements of the law, regulations, published standards and community expectations of probity, accountability and openness.

On a daily basis, public sector governance is typically about the way public servants make decisions and implement policies.²

The DET Governance Framework (the framework) is based on principles of best practice public sector governance, and identifies the principles, elements and mechanisms to drive and support governance in practice.

Public Sector Governance *Better Practice Guide*, Australian National Audit office

www.anao.gov.au/Publications/Better-Practice-Guides/2005-2006/Public-Sector-Governance

Australian Public Service Commission *Building Better Governance Guide*

www.apsc.gov.au/publications07/bettergovernance1.htm

The principles

The framework is underpinned by six foundation principles of public sector governance:³

accountability — being answerable for decisions and having appropriate mechanisms in place to ensure the agency adheres to all applicable standards

transparency and openness — having clear roles and responsibilities, and clear procedures for making decisions and exercising power

integrity — acting impartially, ethically and in the interests of the agency

stewardship — using every opportunity to enhance the value of the public assets and institutions that have been entrusted to the agency's care

efficiency — ensuring the best use of resources to further the aims of the organisation

leadership — achieving an agency-wide commitment to good governance through leadership.

The elements

The framework has seven elements. Each element contributes to, and supports, the other elements in the framework:

1. **direction** — mutual understanding of our purpose and direction, through planning and resource allocation
2. **alignment** — functions, structures and culture that align with our organisational goals through quality leadership and sound governance
3. **accountability** — clear and transparent accountabilities through legislative compliance, information management and corporate reporting
4. **expectations** — organisation-wide understanding of performance and behavioural expectations, through effective communication and the implementation of best practice public sector management practices
5. **delivery** — quality service delivery through effective program and resource management, and monitoring, reviewing and reporting processes
6. **improvement** — improving organisational and individual performance through review, intervention, capacity building and internal control mechanisms
7. **risk management** — managing risk within the department through the adoption of an enterprise risk management framework as an integral part of our daily activities.

Developing and managing productive relationships with our stakeholders is incorporated in all elements of the framework. In particular, responsible officers are expected to use appropriate processes to ensure they consult broadly, both internally and externally, on effective ways to achieve their objectives.

The mechanisms

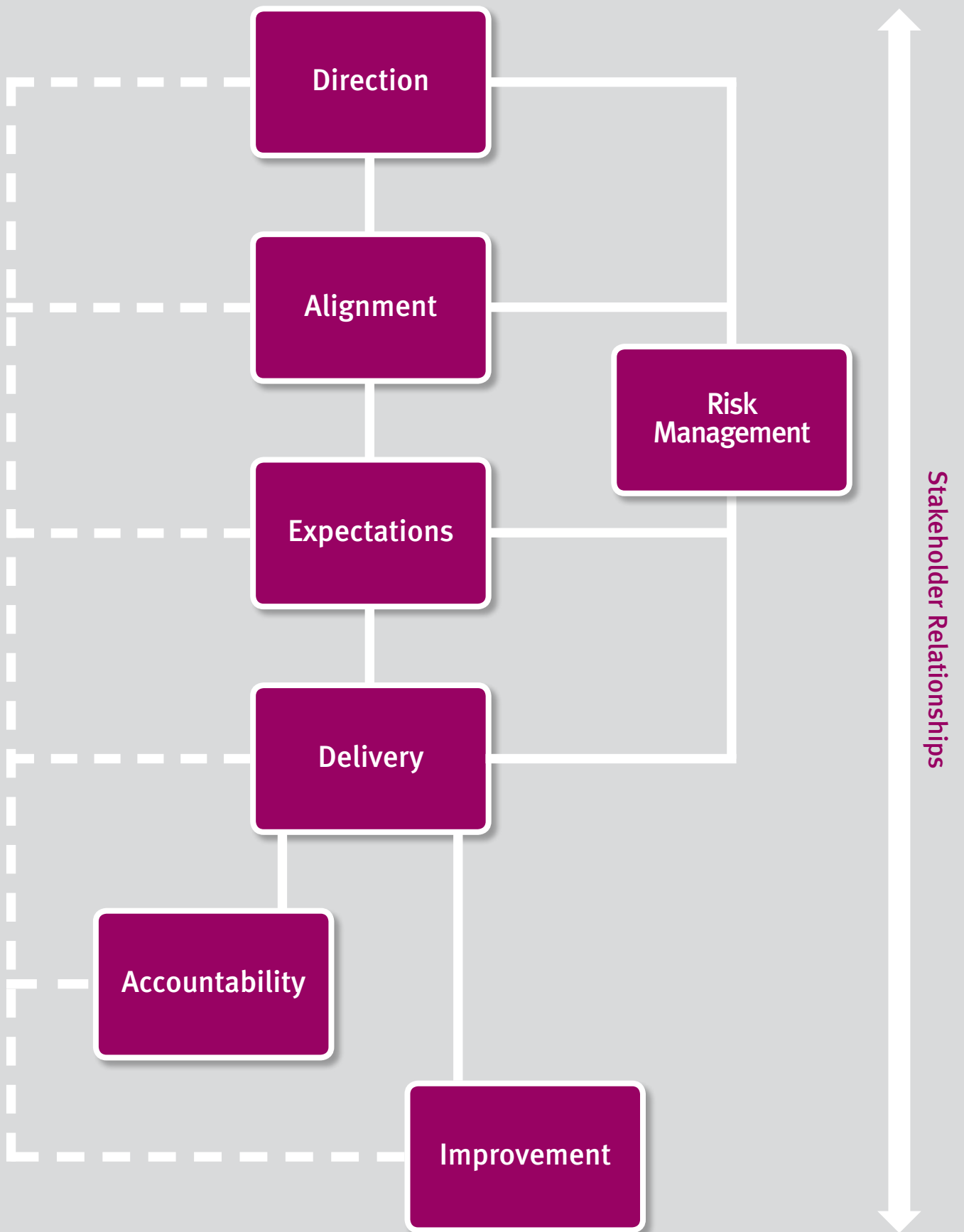
The mechanisms are the strategies, policies, processes and documents which are associated with each of the elements, and are used to drive and support good governance in practice. Given the interrelationship between the elements, there is a significant degree of overlap between these mechanisms.

The framework is illustrated in **Figure 1** overleaf.

¹ Australian National Audit Office and Department of the Prime Minister and Cabinet, 2006, *Implementation of Programme and Policy Initiatives: Making Implementation Matter, Better Practice Guide*, Commonwealth of Australia, Canberra.

² Australian Public Service Commission, 2007, *Contemporary Government Challenges, Building Better Governance*, Commonwealth of Australia, Canberra.

³ Australian Public Service Commission, 2007, *Building Better Governance*, <http://www.apsc.gov.au/publications07/bettergovernance1.htm> Australian Government.



Accountability • Transparency • Integrity • Stewardship • Efficiency • Leadership

Each element contributes to, and supports, the other elements in the framework.

Figure 1: Department of Education and Training Governance Framework: An overview

1. Direction

The department’s purpose and direction is guided and influenced by whole-of-government and departmental priorities, and established through the development of strategic planning and budget documents which outline our key objectives, strategies and performance indicators.

Whole-of-government priorities

The Ministerial Charter of Goals lists the government commitments and priorities that each Minister is responsible for delivering through the agencies within their ministerial portfolio. The Charter of Goals for Ministers responsible for education and training includes election commitments, targets, agreements and priorities that they are responsible for delivering through the Department of Education and Training.

Toward Q2: Tomorrow’s Queensland (Q2) is the Queensland Government’s blueprint for the future. It is a vision based on five broad ambitions – strong, green, smart, healthy and fair – and 10 measurable targets. Q2 tackles some of our biggest challenges including climate change, population growth, preventable diseases and entrenched disadvantages.

Ministerial Charter of Goals

www.cabinet.qld.gov.au/min-charter-of-goals.html

Toward Q2: Tomorrow’s Queensland

<http://www.towardq2.qld.gov.au/tomorrow/index.aspx>

COAG National Partnerships

http://www.coag.gov.au/intergov_agreements/index.cfm

A Flying Start for Queensland Children

www.deta.qld.gov.au/aflyingstart/

Departmental services

The Director-General, with the support of the Executive Management Group, sets the organisational direction by establishing plans, programs and strategies that support government priorities through departmental services (see Table 1).

Planning

The department’s direction is articulated through the development of strategic, operational and specific purpose plans. DET has an integrated business planning system which cascades from the department’s strategic plan through to divisional, regional, school and TAFE institute plans.

The goals and objectives in the department’s plans are distilled into each employee’s individual performance and development plan.

Planning requirements for Queensland Government agencies are set out in the *Financial and Performance Management Standard 2009*. Under the legislation, Queensland Government departments must comply with *Agency Planning Requirements* developed by the Department of the Premier and Cabinet (DPC) when developing strategic and operational plans. The cascading and informing relationships between strategic and operational plans are shown in Figure 2.

Strategic objectives	Service areas
Queensland children will have access to quality early childhood education and care	1. Early Childhood Education and Care
Every young Queenslander will be prepared with the educational foundations to support successful transitions to further education, training and work	2. Schooling
Queenslanders will be skilled to maximise their opportunities and productively contribute to Queensland’s economy	3. Tertiary – VET and Higher Education

Table 1: Department of Education and Training strategic objectives and key services

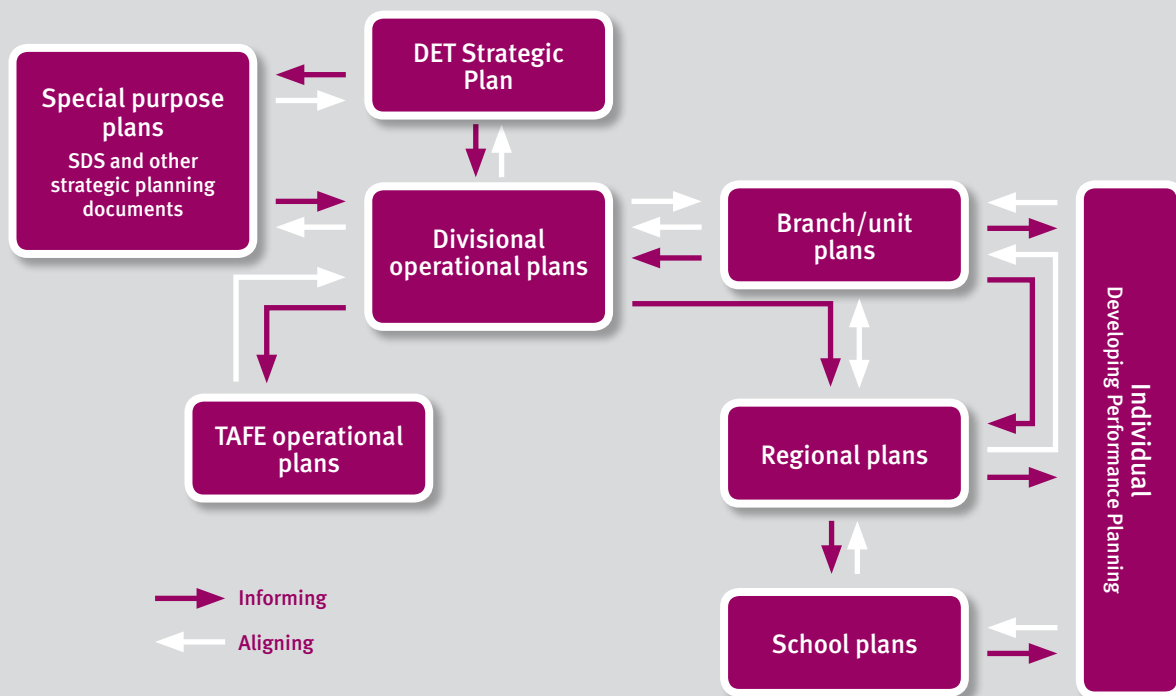


Figure 2: Strategic and Operational Planning Framework

DET Strategic Plan

The DET Strategic Plan clearly articulates the department’s direction to staff, key clients and other stakeholders. It describes the department’s vision, purpose, objectives and corporate strategies, and the performance indicators used to measure progress in achieving the objectives.

While the strategic plan covers a period of at least four years, it is reviewed annually to consider changes in policy direction and new or emerging issues and challenges. The strategic plan sets the direction for the department’s operational plans.

DET Strategic Plan

www.deta.qld.gov.au/publications/strategic/

Operational plans

Annual operational plans are developed at divisional, branch, regional, TAFE and school level. Operational plans align to the DET Strategic Plan and other strategic documents, and outline objectives with related performance measures and risk identification and mitigation strategies. Operational plans also detail the major programs and projects being undertaken to meet the objectives.

Operational plans are developed through a process of environmental scanning to determine upcoming challenges and new priorities, and reviewing the past year’s performance in delivering on identified objectives and performance measures.

Department of the Premier and Cabinet *Agency Planning Requirements*

<http://www.premiers.qld.gov.au/publications/categories/plans/assets/agency-planning-guidelines.doc>

Divisional planning

Each division in the department (including branches and work units as determined by the senior accountable officer) develops an annual operational plan, which identifies its key accountabilities in implementing the department’s strategic plan key strategies and targets.

The plans describe the key objectives of divisions, their branches and work units, and detail the specific programs and projects the divisions are implementing to meet the department’s strategic objectives. The plans also describe relevant performance measures and targets, and outline the strategies to address the potential impact of operating risks and critical issues on service delivery, including business continuity.

Regional planning

Regional planning focuses on the delivery of integrated services across the region. Each region develops an annual operational plan informed by strategic objectives, key strategies and performance measures specified in the Strategic Plan, relevant initiatives and performance measures in divisional operational plans, and the region’s operating environment.

School planning

The School Planning, Reviewing and Reporting Framework supports all state schools to develop a school plan. School plans have a four-year outlook, within which sits an annual operational plan. School plans are reviewed and updated annually, and every four years (through the Quadrennial School Review), to maintain operational currency and focus.

School planning, reviewing and reporting framework
<http://education.qld.gov.au/strategic/accountability/performance/sprpf.html>

TAFE institute planning (non-statutory authorities)

TAFE institutes' annual plans are informed by the requirements of the *Vocational Education, Training and Employment Act 2000* and the *Financial and Performance Management Standard 2009*. An institute's operational plan is a formal performance agreement between the Institute Director and the accountable DET officer. TAFE operational plans outline the:

- institute's business strategies and objectives (which link directly from government strategic agendas and the DET Strategic Plan)
- expected financial and non-financial performance for the relevant financial year
- alignment of these with agreed key performance indicators, targets and resources required to demonstrate how and when the institute will achieve its objectives
- relevant supplementary agreements, for example, purchaser agreements and User Choice contracts.

Specific purpose plans

The department develops a range of specific purpose plans to meet legislation and Queensland Government policy and frameworks which address areas of high strategic importance. The *Agency Planning Requirements* list mandatory and discretionary planning requirements for Queensland Government agencies.

Individual performance and development planning

Employees of the department participate in performance and development planning process outlined in the Developing Performance Framework. Through this process, they are supported to develop an individual plan that clarifies the expectations of them in their role, including tasks that they will undertake to contribute to key work priorities, their career goals and capability development activities.

Information on individual performance and development
<http://education.qld.gov.au/staff/development/>

DET Service Delivery Statement

State Budget Paper No. 5 – Service Delivery Statement (SDS) provides budgeted financial and non-financial information on the resources that have been allocated to support the department's direction and priorities, as outlined in the Strategic Plan and operational plans objectives and strategies.

As well as providing budget figures, the SDS contains information on major initiatives that are being funded, and performance targets for the new financial year. In addition to providing an overview of achievements, the SDS includes a performance statement reporting on performance against approved service standards for the previous financial year.

State Budget Papers

<http://deta.qld.gov.au/publications/budgets/>

2. Alignment

Organisational alignment ensures that all aspects of the department are aligned with the realisation of its purpose – strategically (the management of the business to achieve its vision) and operationally (the department’s ability to deliver its objectives). This involves ensuring the appropriateness and effectiveness of the core business processes, and the organisational structure designed to manage this. It includes the governance mechanisms that empower management and ensure accountability, and the setting and monitoring of performance objectives (performance management).

Successful organisation alignment requires strong commitment from organisational leaders, and a cascade of this commitment across the agency. Senior managers must model good governance behaviours, and demonstrate a commitment to achieving government objectives through accountable processes. Effective communication is essential at all levels to ensure congruence and a clear line of sight from the department’s high level strategies to individual performance plans.

Line managers are required to consistently promote and implement departmental governance processes through clear communication about employees’ governance responsibilities, and by incorporating good governance into daily activities. Employees are required to be aware of their governance responsibilities and actively support the departmental model of strong corporate governance.

Organisational structure

The DET organisational structure has been designed to ensure effective organisational alignment of functions and operations with the delivery of key services. The structure achieves this by providing clear lines of reporting, accountability and responsibility to support appropriate, open and transparent decision-making processes.

DET organisational structure

<http://deta.qld.gov.au/corporate/pdf/det-organisational-structure.pdf>

Governance committees

The department has established a number of governance committees to advise and support the Director-General in discharging responsibilities.

The Executive Management Group (EMG) provides executive leadership to support the Director-General, as the Chief Executive, to meet departmental legislative, policy and management accountabilities. The EMG is supported by corporate governance committees (see Figure 5 below). These committees provide forums for senior executives to engage with the range of strategic agendas.

A number of other committees and consultation mechanisms, both internal and external, also help to support decision-making by the EMG and its subcommittees.

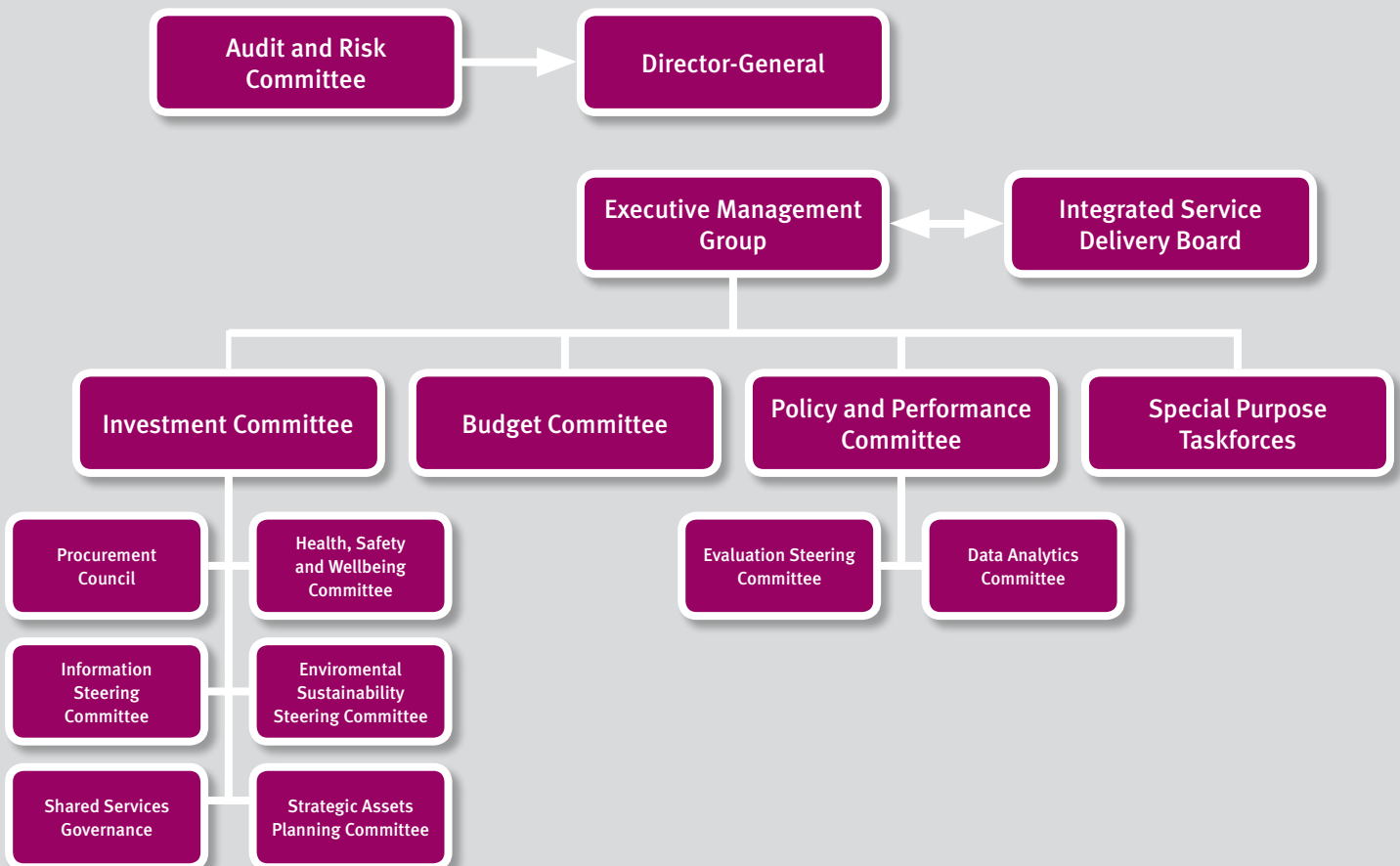


Figure 3: Department of Education and Training governance committee structure

Role of governance committees

Executive Management Group

The purpose of the EMG is to positively position the department for the future. The EMG sets and reviews the strategic direction, priorities and performance objectives of the department to enable the efficient and effective achievement of outcomes for Queensland.

Integrated Service Delivery Board

The Integrated Service Delivery Board supports integrated and effective service delivery across the department.

Audit and Risk Committee

The Audit and Risk Committee provides independent audit and risk management advice to the Director-General.

Investment Committee

The Investment Committee provides advice to the EMG on investment strategies to positively position DET for the future and enable the efficient achievement of outcomes.

Budget Committee

The Budget Committee provides advice regarding strategies to develop, review and monitor current and future internal budgets.

Policy and Performance Committee

The Policy and Performance Committee provides advice to the EMG about policy development, and the synergies and collective impact of major policy initiatives on the achievement of priorities.

Special purpose taskforces

Special purpose taskforces are formed as required to deal with emerging issues.

All governance committees share information and interact to achieve the department's objectives. The EMG and its governance committees are required to review their performance and report achievements in the DET Annual Report.

Best practice in governance committees

The department uses best practice for establishing and operating its governance committees. Best practice requires attention to the four stages — set-up, operations, follow-through and review.

- **Set-up** — the purpose, functions, roles and processes for the committee operations, processes and review need to be identified and documented in the set-up phase.
- **Operations** — the role of an efficient and effective secretariat to work with the chair of a committee in agenda setting and managing the operations of the committee meetings is a key to their success in meeting their purpose and function.
- **Follow-through** — for committees to achieve their objectives, they need to have processes to ensure follow-through of actions or decisions, the escalation of issues to other committees if appropriate, and the communication of key decisions or actions to other governance committees.
- **Review** — periodic review of committees needs to be undertaken to ensure they are still meeting their intended purpose, gauge their performance, or determine whether their intended purpose is still relevant.

The effectiveness of these four stages will determine the value added to the organisation by the committee.

Committee Management Process

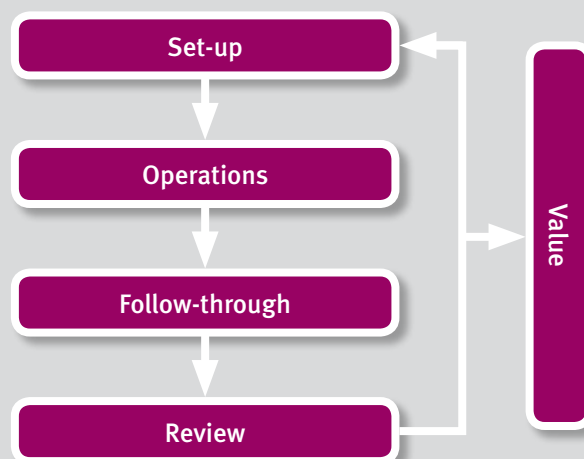


Figure 4: Department of Education and Training committee management process

Change management processes

Machinery-of-government changes or organisational changes initiated within the department necessitate strong leadership across the introduction, implementation, management and review of change initiatives to ensure alignment is maintained or strengthened.

In order to manage change successfully, departmental leaders are expected to fully analyse the impact of the change on the department, and undertake a formal, planned approach to identify, manage and monitor strategic and operational risk. While undertaking this analysis, it is crucial that change leaders maintain their focus on maximising the likelihood of change management processes delivering long-term benefits, while at the same time minimising any negative impacts on employees.⁴

Change management within a large department needs to address many factors, including organisational culture, business processes, the physical environment, job design and responsibilities, staff skills and knowledge, and policies and procedures, to achieve the required organisational realignment.

To facilitate a successful change and transition process, organisational leaders must demonstrate a personal commitment and interest in the implementation of the change⁵, using tools, including clear, consistent and frequent communication, to ensure that change is embedded seamlessly across the organisation. Change must be communicated clearly from the top down, and deployed both quickly and strategically to support an increased capacity within the department to adapt and grow.

The key factors to be addressed when leading a program of change are:

- **communication** — to build clear understanding of the purpose and nature of the change
- **planning** — to ensure all aspects of the change are addressed
- **support** — to provide people with the capabilities they will need to commit to the change
- **recognition of progress** — to strengthen workforce engagement and highlight the benefits to the organisation.

Queensland Audit Office Checklist for Organisation Change – Managing Machinery of Government Changes

http://www.qao.qld.gov.au/downloadables/publications/best_practice/Checklist%20for%20Organisational%20Change%20_March%202009_.pdf

Public Sector Employee Induction Program

<http://deta.qld.gov.au/staff/induction/>

DET Developing Performance Framework

<http://education.qld.gov.au/staff/development/performance/>

Professional development information

<http://education.qld.gov.au/staff/development/>

Managing strategic governance

The department's Corporate Strategy and Performance Division, through its Governance Strategy and Planning Branch, supports organisational alignment by managing and coordinating key corporate governance, planning and reporting processes of the organisation. These include the Strategic Plan, Annual Report, Service Delivery Statement and other whole-of-government reporting requirements.

The alignment of key governance activities across the department is represented in **Figure 5**.

⁴ Department of the Premier and Cabinet, 2008, *A Guide to Organisational Change Management*, State of Western Australia, Perth.

⁵ Ibid

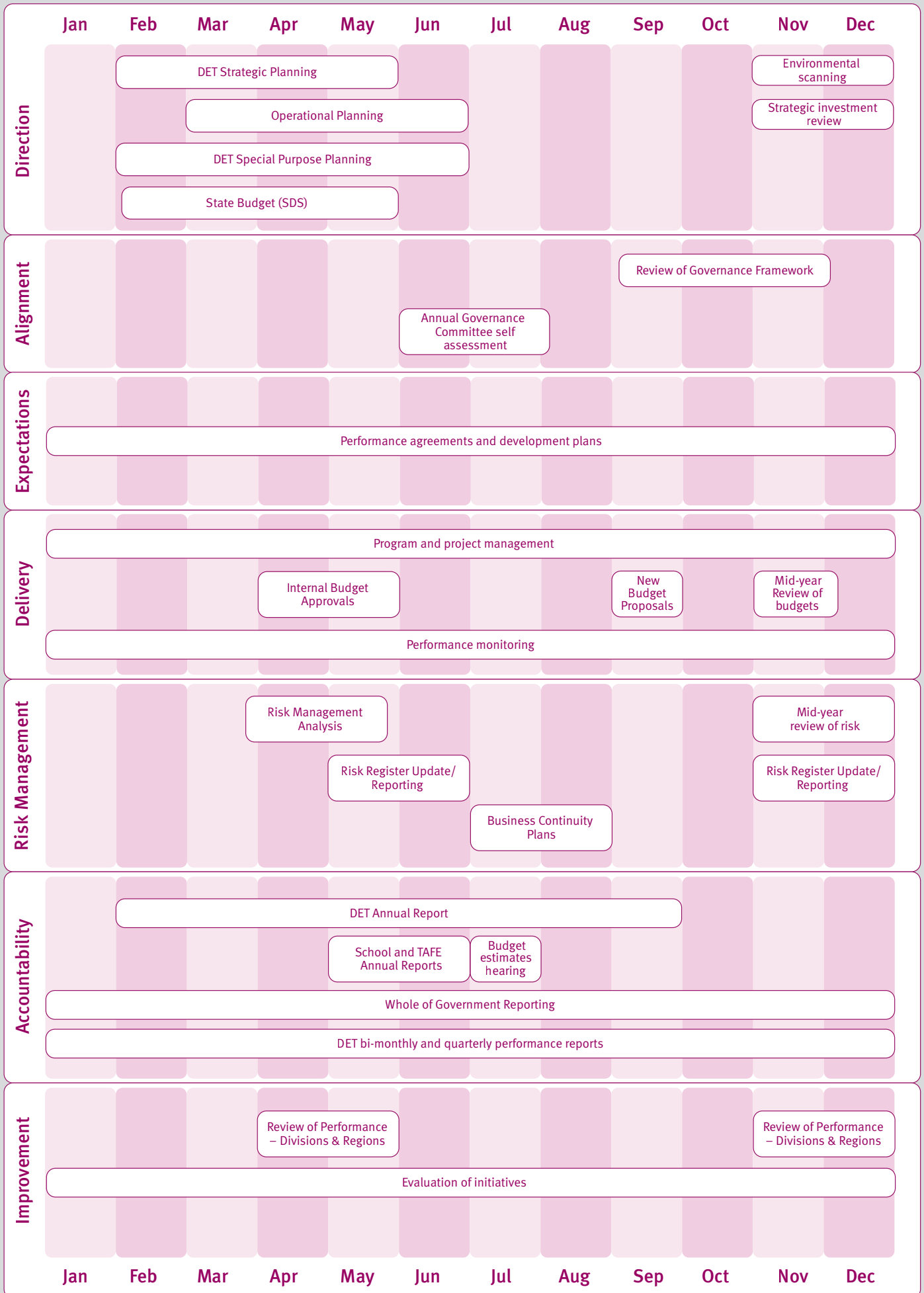


Figure 5: Governance cycle

3. Accountabilities

'Accountability' is the acknowledgment of responsibility for policies, decisions and actions within the scope of a role. It encompasses the obligation to report, explain and be answerable for resulting consequences.

Legislation

The department is primarily accountable for administering a wide range of department-specific legislation across early childhood education and care, schooling, vocational education and training and higher education provision; as well as complying with whole-of-government legislation, which governs the operations of agencies.

A complete list of legislation administered by, or relevant to, the governance of the department is available in the Policy Instruments Framework on the department's website.

Included in the Policy Instruments Framework is a procedure on legislative compliance (*LGS-PR-009: Legislative Compliance*) to ensure that the Director-General can be satisfied that all measures are being taken by officers across the department to actively comply with all relevant legislation and applicable standards. The procedure identifies the pieces of legislation which are administered by specific areas of the organisation.

Education (General Provisions) Act 2006
Vocational Education, Training and Employment Act 2000
Higher Education (General Provisions) Act 2008
Child Care Act 2002

www.legislation.qld.gov.au/OQPChome.htm

DET *Legislative Compliance* procedure
<http://education.qld.gov.au/strategic/eppr/legal/lgspr009/index.html>

Delegations

Legislative delegations and authorisations

The Minister and the Chief Executive are given powers under both agency-specific and whole-of-government legislation. Many of these Acts include specific powers for the Minister and Chief Executive to delegate their powers or functions to an 'appropriately qualified officer' of the department. The relevant legislation usually includes a definition of 'appropriately qualified', which generally relates to the possession of qualifications, experience or standing appropriate for the function.

Some Acts also enable the delegated officer to sub-delegate the power or function to another officer in the department. If the relevant Act does not include a specific power of delegation or sub-delegation, there can be no specific express delegation or sub-delegation of the Minister or Chief Executive's powers. The delegation of a power or the revocation of a delegation must be in writing, signed by the delegator.

Instruments of delegation are developed for approval by the Minister or Chief Executive (as relevant) for each applicable portfolio Act or Regulation. Each division of the department which is nominated in the Schedules of Legislation must develop and maintain legislative delegations for the particular legislation for which it is responsible. Divisions must also ensure that the approved delegations instruments are securely stored in the Delegations Register.

Whole-of-government *Guidelines for Managing Ministerial Delegations*⁶ require that departments and ministerial offices maintain a register of ministerial powers, delegations and the use of such powers (the Delegations Register). Both current and previous written delegations should accompany each entry on the register.

The department's Legal and Administrative Law branch is able to provide legal advice and assistance to departmental officers as required.

Some delegations are available on the department's website as part of the Policy Instruments Framework.

Administrative and financial delegations

The *Public Service Act 2008* and directives issued by the Public Service Commission provide the statutory basis for human resource delegations.

The *Financial Accountability Act 2009* and subordinate legislation (Standard and Regulation) provide the legislative basis for financial delegations. By virtue of this legislation, the Director-General must approve any creation of, or amendment to, an existing financial delegation. The financial accountability legislation does not permit sub-delegation.

Financial and human resource delegations are available on the department's website as part of the Policy Instruments Framework.

DET Finance and administration delegations
DET Human resource delegations
<http://deta.qld.gov.au/about/pif/government-action/authorities-delegations.html>

Financial accountability

The department has an obligation to account for the way resources are allocated and used to ensure that public money is spent economically and efficiently, and that Queenslanders benefit from government investment in their education and training.

The department's financial governance framework is primarily developed from government legislation, policy and guidelines, and is documented in the department's *Financial Management Practice Manual* (FMPM).

The *Financial Accountability Act 2009* was enacted to govern public sector financial administration in Queensland. It is principles-based, which enables the department to develop and implement systems of internal control which best suit its circumstances, while meeting prescribed accountability requirements.

⁶ The Office of Public Service Merit and Equity, <http://www.premiers.qld.gov.au/publicatinos/categories/policies-and-codes/handbooks/ministerial-handbooks/assets/appendix-21.pdf>

The Act is supported by subordinate legislation; the *Financial and Performance Management Standard 2009* and the *Financial Accountability Regulation 2009*. The Standard provides a framework for the department to develop and implement systems, practices and controls to facilitate efficient, effective and economical financial and performance management, and the Regulation prescribes the appropriate qualifications to be Chief Financial Officer.

Policy and guidance documents such as the *Financial Accountability Handbook* are referred to in the Act and subordinate legislation. These documents provide guidance to assist the department in meeting its financial, operational and regulatory obligations. The handbook reinforces the requirement for the development and application of efficient, effective and economical internal controls in the management of the department's financial resources.

The FMPM is derived from the financial management legislation and provides the financial governance framework through which the department discharges many of its corporate governance obligations. The FMPM:

- sets out mandatory policies and procedures that are to be implemented by the department so as to fulfil its accountability requirements
- complies with related legislation and policies, and is consistent with the policies and procedures that effectively manage the revenue, expenses, assets, cash, liabilities, contingencies, financial information management and reporting, and risk management
- supports the management of the department's financial resources.

Financial Accountability Act 2009

Financial Accountability Regulation 2009

Financial and Performance Management Standard 2009

www.legislation.qld.gov.au/OQPChome.htm

Queensland Treasury Financial Management Framework

<http://www.treasury.qld.gov.au/office/knowledge/docs/financial-management-framework/index.shtml>

Information management

Transparency and legislatively compliant recordkeeping are the key to developing and maintaining a culture of accountability.

Right to information

The *Right to Information Act 2009* (Qld) was enacted by the Queensland Government to provide greater community access to information produced in the public sector. The Act ensures equal access to information across all sectors of the community, unless on balance it is contrary to the public interest to disclose that information.

Right to Information Act 2009

<http://www.legislation.qld.gov.au/LEGISLTN/CURRENT/R/RightInfoA09.pdf>

Information privacy

The *Information Privacy Act 2009* (Qld) aims to protect individuals' personal information, and imposes limits on the collection, storage, use and disclosure of personal information by departmental employees. Under the *Education (General Provisions) Act 2006*, personal information about prospective, current or former state school students must be recorded, used and disclosed by departmental employees in accordance with the confidentiality provision in the Act. There are also confidentiality provisions in other Acts administered by the department, for example, the *Vocational Education, Training and Employment Act 2000* and the *Child Care Act 2002*.

Information Privacy Act 2009

<http://www.legislation.qld.gov.au/LEGISLTN/CURRENT/I/InfoPrivA09.pdf>

Public Interest Disclosure Act 2010 (Qld)

The *Public Interest Disclosure Act 2010* (Qld), which replaces the repealed *Whistleblowers Protection Act 1994* (Qld), took effect on 1 January 2011. This Act aims to ensure that government is open and accountable by providing protection for those staff members who speak out about wrongdoing (make a public interest disclosure).

A new procedure has been developed and published on the DET policies site which provides a process and guide for the department to follow and comply with its obligations under the provisions of the Act. The new procedure *WFR-PR-013: Making and Managing a Public Interest Disclosure under the Public Interest Disclosure Act 2010 (Qld)* outlines what it means to make a disclosure under the Act, and how any person, whether an employee (public officer) or a member of the public, can make a public interest disclosure.

The department values and promotes ethical behaviour and accountability, and ensures those staff members who speak out about a wrongdoing that may amount to official misconduct, maladministration or other types of wrongdoing are afforded support and protection.

Administrative Access Scheme

The department's Administrative Access Scheme establishes the processes by which the department complies with the release of information and the protection of individuals' privacy under the right to information legislation. The administrative release of information offers the public shorter waiting times for access to information, increases transparency of government information, and in the long term, may result in a reduction in the number of request for access made under the legislation. Administrative release allows the department to give a complete picture in relation to the information it releases, and minimises the risk that information may be used out of context.

Public records

Physical and electronic records are necessary for business operations, accountability requirements and meeting community expectations. All departmental records are 'public records' as defined under the *Public Records Act 2002*. The department applies whole-of-government information policies and standards to such records, and is proactive in implementing *Information Standard 40 – IS40: Recordkeeping*.

The Total Records Information Management system is the chief electronic document and records management system used to manage departmental records. A range of other electronic business systems support the recording of decisions and actions by DET, including enterprise content management systems, e-commerce systems, customised databases, client relationship management systems, and financial and human resources systems.

Public Records Act 2002

<http://www.legislation.qld.gov.au/LEGISLTN/CURRENT/P/PublicRecA02.pdf>

Policy Information Standard 40 – 1540: Recordkeeping

<http://www.qgcio.qld.gov.au/qgcio/architectureandstandards/informationstandards/current/Pages/Recordkeeping.aspx>

Corporate reporting

Clear and unambiguous lines of reporting, accountability and responsibility, both within the organisation and with its stakeholders, are critical to effective governance. The department has rigorous systems of internal and external reporting, which demonstrate its commitment to transparency, accountability and good governance practice.

National and state reporting

The department undertakes regular national and state reporting on:

- Council of Australian Government priorities
- Queensland Government objectives for the community.

Council of Australian Government priorities

Current key priorities are delivered through a number of National Agreements and National Partnerships. DET reports annually to the Council of Australian Governments Reform Council on the implementation of relevant National Agreements, and to the Commonwealth Department of Education Employment and Workplace Relations on the achievement of National Partnership targets and milestones. DET's implementation of National Partnerships is also reported biannually at the state level, in DPC's report on government commitments and decisions.

Queensland Government objectives for the community

The department currently reports to the Department of the Premier and Cabinet on progress towards meeting current priorities relating to the Q2 ambitions and other relevant government commitments, e.g. election commitments.

Parliamentary/ministerial reporting

Parliament has a number of portfolio committees aligned to specific areas of government responsibility that have specific powers to examine Bills introduced into the Parliament, as well as government expenditure through the annual estimates process. The Industry, Education, Training and Industrial Relations Committee has those powers in relation to the business of this department.

Estimates hearings by the committee occur in July each year, following the presentation of the State Budget. The department's SDS is a primary source of budget and performance information for these hearings.

DET annual report

The *Financial Accountability Act 2009* requires that all departments and statutory bodies prepare annual reports and table them in the Legislative Assembly each financial year. The *Financial and Performance Management Standard 2009* provides specific requirements for information that is to be disclosed in annual reports.

The department's annual report is an integral part of the corporate governance framework. It describes the achievements, performance, outlook and financial position of the department, including non-statutory TAFE institutes, for each financial year. It reports on actual non-financial and financial performance for the year against performance indicators and performance measures.

The annual report is a key accountability document, and the principal way in which the department reports on its activities to provide a full and complete picture of the department's performance to Parliament and the wider community.

DET Annual Report

<http://deta.qld.gov.au/publications/annual-reports/>

School annual reports

The *Annual Reporting Policy for all Queensland Schools* sets out the minimum annual reporting requirements for all state and non-state schools. Queensland schools meet the reporting obligations required by both the Queensland and Australian governments by publishing this information.

Schools are required to publish their school annual report on the internet for a minimum of 12 months, and are to make arrangements to provide information, on request, to a parent, carer or person who is responsible for a student at the school who is unable to access the internet.

The department supplies a School Annual Report template, and instructions for completing and uploading the template to assist state schools to meet the mandatory publishing deadline of 20 June each year for the previous calendar year.

Annual Reporting Policy for all Queensland Schools

<http://education.qld.gov.au/schools/reporting/schoolannualreport.html>

4. Expectations

The department's approach to the development of performance expectations of employees complies with best practice public sector management. An individual employee's responsibilities as an employee of the department, departmental expectations of their behaviour, and the performance they are expected to achieve are clearly articulated through codes of conduct, the department's policies and procedures, and performance development agreements and plans.

Public sector ethics

The Integrity Act 2009 established the role of the Queensland Integrity Commissioner. Under this Act, the Integrity Commissioner can give written advice to Ministers, MPs, senior public servants and others about ethics or integrity issues, including conflicts of interest.

Queensland Integrity Commissioner

<http://www.integrity.qld.gov.au/page/about-us/who-we-are.shtml>

The *Public Sector Ethics Act 1994* defines four ethical principles and obligations that all employees must observe in the performance of their duties:

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

Public Sector Ethics Act 1994

<http://www.legislation.qld.gov.au/LEGISLTN/CURRENT/P/PublicSecEthA94.pdf>

Code of Conduct

The *Code of Conduct for the Queensland Public Service* provides DET employees with a framework of ethical principles, values and standards of conduct for how work is to be performed, and how employees should conduct their relationships with others.

The Code of Conduct and the department's Standard of Practice apply to all departmental employees, whether permanent or temporary staff, contractors, or trainees on secondment or a work placement.

The department manages investigations into alleged breaches of the Code of Conduct and Standard of Practice. Consultation and liaison takes place with the Crime and Misconduct Commission, the Queensland Police Service, the Queensland College of Teachers and the Queensland Ombudsman when required.

Code of Conduct

<http://education.qld.gov.au/corporate/codeofconduct/index.html>

Code of School Behaviour

The *Code of School Behaviour* defines the responsibilities that all members of the school community are expected to uphold, and recognises the significance of appropriate and meaningful relationships.

It outlines a consistent standard of behaviour for all state school communities in Queensland, inclusive of students, staff and parents.

School communities use the code as a basis for providing:

- positive support to promote high standards of achievement and behaviour
- clearly articulated responses and consequences for inappropriate behaviour.

Each school details strategies to promote appropriate behaviour and consequences for unacceptable behaviour within its *Responsible Behaviour Plan for Students*.

Since 2006, legislation has provided for an 'enrolment agreement'. Before enrolling students, principals must give enrolment agreements to each student's parent or carer, or directly to independent students. Parents, carers or students are asked to sign the agreement. The agreement sets out the rights and obligations of students, parents and staff at the school, and requires all parties to abide by the *Code of School Behaviour* and other endorsed conditions stipulated by the school.

Code of School Behaviour

<http://education.qld.gov.au/publication/production/reports/pdfs/code-school-behaviour-a4.pdf>

Code of conduct and behaviour – TAFE institutes

TAFE institutes comply with the department's Code of Conduct.

TAFE Student Rules

The *TAFE Student Rules* outline the rules and regulations governing student conduct within TAFE Queensland. They are designed to ensure that students are aware of their rights as students, as well as their responsibilities to the institute and other students.

Role descriptions

All positions in the department have a role description that specifies their purpose, accountabilities, and key responsibilities and skills. In some cases, role descriptions may include the qualifications, registration or experience required for the position.

Performance agreements and performance development plans

Performance agreements for the Chief Executive and senior executive officers are prepared before the beginning of each financial year using a performance agreement template provided by the Office of the Public Service Commission.

The performance agreement template requires the identification of objectives and indicators of success for each objective. Objectives and indicators are clearly specified, measurable, and relate to the financial year of the performance agreement. Where a target spans a period longer than one year, agreements specify expectations of achievements during the initial financial year.

The framework also requires self-assessment by senior executive officers of their personal capabilities, and the identification of focus areas and proposed strategies or actions to support their further development.

The Developing Performance Framework provides all departmental employees with a similar process to assist them to develop their performance. The process of planning and reviewing performance involves:

- clarifying role expectations, individual capabilities and career aspirations
- developing a shared understanding or agreement about expectations, key work tasks and career goals, and the types of support and professional development available
- regularly monitoring performance against agreed expectations and tasks.

Department of the Premier and Cabinet *Performance Management Framework Guidelines*
<http://premiers.govnet.qld.gov.au/performance/guidelines.html#three>

Public Service Capability and Leadership Framework
<http://education.qld.gov.au/staff/development/standards/clf-framework.html>

A Guide to the Queensland Government Performance Management Framework
<http://www.premiers.qld.gov.au/publications/categories/guides/perf-manage-framework.aspx>

Professional Framework for Public Sector Employees
http://education.qld.gov.au/staff/development/pdfs/pd_publicsect.pdf

Education Queensland Professional Standards for Teachers
<http://education.qld.gov.au/staff/development/standards/teachers/index.html>

Senior Executive Service Performance and Development Agreement Template
<http://www.psc.qld.gov.au/library/document/catalogue/ceo-ses-so/ses-performance-agreement-template.pdf>

Chief Executive Performance Agreement Public Service Commission
<http://www.psc.qld.gov.au/library/document/catalogue/ceo-ses-so/ces-performance-agreement-template.pdf>

Policies and procedures

The Policy Instruments Framework is a centralised directory on the DET website for the department's policy instruments. The framework standardises definitions for the department's policy instruments, including:

- Commonwealth legislation and legislative instruments
- Queensland legislation and subordinate legislation
- policy (Australian and Queensland)

- industrial agreements and directives
- standards
- procedures (including DET Procedures Register)
- authorisations and delegations
- guidelines
- supporting documentation.

Each of these policy instruments sets out expectations of performance and behaviour of departmental employees.

DET Policy Instruments Framework
<http://deta.qld.gov.au/about/pif/index.html>

DET Procedures Register
www.education.qld.gov.au/strategic/epr/about.html

Industrial agreements and directives

Terms and conditions of employment for departmental employees are prescribed in legislation, industrial instruments (awards and agreements) and directives. Awards and agreements are negotiated between employer representatives (the Queensland Government or the Department of Education and Training) and trade unions acting on behalf of employees. Once certified by the Queensland Industrial Relations Commission, certified agreements place legal obligations on employers, employees and unions.

Directives are issued under Sections 53 and 54 of the *Public Service Act 2008*. The Public Service Commissioner and Industrial Relations Minister may issue directives concerning whole-of-government employment conditions.

Health, safety and wellbeing

Enhanced health, safety and wellbeing involve the creation of a strong culture, driven by an understanding and acceptance that the responsibility for health, safety and wellbeing rests with every person within the department.

All departmental employees have a responsibility to ensure no one is placed, or expected or permitted to work or learn, in an environment without appropriate and acceptable health, safety and wellbeing measures in place.

A range of departmental policies, procedures and other resource materials outline the responsibilities and expectations of department employees in relation to the implementation, management and monitoring of health, safety and wellbeing practices in our workplaces. These practices provide the minimum expected requirements, and align with our legislative obligations under workplace health and safety legislation.

Workplace Health and Safety Act 1995
<http://www.legislation.qld.gov.au/LEGISLTN/CURRENT/W/WorkpHSaA95.pdf>

Creating Healthier Workplaces
<http://education.qld.gov.au/health/>

Workers' Compensation and Rehabilitation Act 2004
<http://www.legislation.qld.gov.au/LEGISLTN/CURRENT/W/WorkersCompA03.pdf>

Review mechanisms

While the DET Governance Framework is designed to assist the department in delivering services responsibly, a range of review mechanisms are available to employees who are dissatisfied with departmental decisions. These review mechanisms are administered through external bodies and tribunals to further ensure quality, consistency, transparency and accountability in government decision-making processes.

Review mechanisms include:

- dispute resolution procedures contained within industrial instruments
- the *Managing Employee Complaints* directive and departmental policies
- access to Members of Parliament and ministerial review
- Public Service Commission
- Queensland Industrial Relations Commission
- Anti-discrimination Commission Queensland
- Queensland Civil and Administrative Tribunal
- judicial review
- Ombudsman.

5. Delivery

DET provides quality service delivery across the entire continuum of learning, through early years, schooling, training and higher education. Delivery of the department's wide range of objectives is managed through portfolio, program and project management, effective resource management, and performance monitoring, review and reporting, at all levels of the organisation.

Portfolio, program and project management

Optimising outcomes from service delivery requires careful planning and coordination, which is achieved through sound program management. Managing the delivery of the objectives in the DET Strategic Plan and related operational plans requires well-considered portfolio and program management and planning techniques that support delivery by providing overarching coordination, risk management and monitoring of the projects and activities that will lead to successful outcomes. Formal program management supports project management by ensuring project outputs are focused on benefits they are intended to achieve, and contribute to the overall performance of the agency.

Employees in DET are encouraged to use the Queensland Government Portfolio, Program and Project Management Methodologies⁷, which offer principles and adaptable tools to successfully manage work within the department. These methodologies provide a consistent approach to selecting, prioritising, monitoring and managing programs, projects and benefits that contribute to achieving organisational strategic objectives. The methodologies provide advice and guidelines to ensure the projects are completed successfully and their outputs contribute to the overall program and portfolio objectives.

The Queensland Government Chief Information Office methodologies for managing projects and programs <http://qgcio.qld.gov.au/qgcio/projectsandservices/Pages/Methodologies.aspx>

Resource management

Workforce

The department employs over 80 000 people, and recognises the importance of using data, governance and systems to drive quality service delivery through people management:

- workforce data is collected and provided to managers to improve workforce planning and management
- strategic workforce plans are developed and maintained to support effective service delivery and reduce organisational risk
- HR policies and delegations are continually reviewed to ensure they are responsive to changing workforce needs
- preventative strategies and partnerships develop and maintain the integrity of the department to ensure workplaces which are ethical and free from misconduct

- processes are in place to ensure complaints against staff that cannot be resolved at a local management level are investigated in a timely manner by trained, competent and unbiased investigators.

A suite of standards and frameworks articulates departmental expectations of employees and supports the development of capability-building programs.

Public Service Commission – Queensland Government corporate publications

<http://www.psc.qld.gov.au/page/corporate-publications/index.shtml>

DET policies and procedures to support human resource management

<http://deta.qld.gov.au/about/pif/>

Performance Planning and Management Framework – best practice guide

<http://education.qld.gov.au/staff/development/>

Finance

The internal budget process enables the department to effectively and efficiently deliver on its key priorities and objectives by ensuring resources are appropriately managed within the department's fiscal constraints. The department's resource planning allocation and reporting is consistent with Queensland Treasury's Financial Management Framework.

Financial Accountability Act 2009

<http://www.legislation.qld.gov.au/LEGISLTN/CURRENT/F/FinAccountA09.pdf>

Financial and Performance Management Standard 2009

<http://www.legislation.qld.gov.au/LEGISLTN/CURRENT/F/FinAccPManSt09.pdf>

Queensland Treasury *Financial Accountability Handbook*

<http://www.treasury.qld.gov.au/office/knowledge/docs/financial-accountability-handbook/index.shtml>

Procurement

Under the *State Purchasing Policy (FNM-PR-014: Procure Goods and Services)*, the Director-General issues agency-specific procedures that govern the conduct of procurement within the department.

The department conducts procurement activities with integrity and in accordance with specified procedures. Appropriate records are maintained to ensure transparency of the process and to provide evidence of accountability. The department's procurement officers are appropriately trained, and understand their obligations and responsibilities in respect of the use of public money.

All purchases that use funds contained in departmental or school bank accounts are subject to specific responsibilities, regardless of the source of those funds, including, for example, funds collected from students, parents and fundraising activities.

State Procurement Policy

http://www.qgm.qld.gov.au/02_policy/spp.htm

⁷ <http://www.qgcio.qld.gov.au/qgcio/projectsandservices/Pages/Methodologies.aspx>

Information and communication technology

The *Queensland Government Enterprise Architecture 2.0* (QGEA2.0) guides the planning and management of ICT strategy, ICT policy, information standards and enterprise architecture in Queensland Government departments. The department's ICT Governance Framework incorporates QGEA 2.0 and provides the direction and oversight of ICT investments, ensuring there is close alignment with business strategy and objectives. This enables the best business value to be achieved from DET's ICT investments, and maximises the use of ICT resources to support effective service delivery.

The department's ICT investments are monitored through regular performance reporting. The risks associated with departmental ICT investments are considered at every stage of the ICT investment life cycle, and appropriate risk management strategies are applied.

Queensland Government Enterprise Architecture 2.0
<http://www.qgcio.qld.gov.au/qgcio/architectureandstandards/qgea2.0/Pages/index.aspx>

Delivering on planned performance

Performance management, monitoring and review processes are used to ensure strategic and operational plans are implemented and working effectively to deliver on identified outcomes. The measures established in plans are used to focus and define activities, illustrate alignment to strategic objectives, and inform the allocation, management and development of resources.

Performance monitoring and review processes are used to make adjustments, if required, to improve service delivery and enable performance against objectives and measures to be achieved. Regular (monthly or quarterly) monitoring against performance measures allows for early intervention where achievement is at risk.

Statutory authorities

The department works with a number of statutory authorities that support the delivery of education and training in Queensland.

6. Improvement

The department instils a culture of improvement by supporting processes to enhance performance throughout the organisation, and using performance information in decision-making and continuous improvement. High level processes are in place to ensure the monitoring, analysis and accountability of the overall performance of the department.

Performance analysis and review

Whole-of-government performance management frameworks and better practice guides have informed the department's processes for supporting performance improvement (see Figure 6).

Performance reviews are embedded into the department's strategic and operational planning processes and mid-year review. Scanning and reviewing processes not only support the development of plans, but also provide key performance information for improving service delivery and promoting system improvement. A thorough scanning review and analysis undertaken as part of planning supports improvement by:

- reporting performance against the agreed objectives and measures outlined in plans
- providing evidence of achievement and good practice
- revealing causal factors for performance that is below expectations
- highlighting ongoing and emerging issues and trends requiring attention
- identifying high impact risk, controls and potential treatments.

System performance and improvement

The EMG formally reviews performance against operational plans for divisions and regions twice a year. These reviews are informed by the collection and analysis of data in support of the department's key performance measures.

Outcomes of formal review processes may include actions to improve performance through adjustments to current plans and allocated resources, or the inclusion of new priorities in the department's future strategic plan and operational plans and supporting investments.

Review, analysis and performance improvement is also supported through formal, rigorous evaluation of key departmental initiatives. Evaluations undertaken during, or at the close of, initiatives are scheduled to provide detailed findings that can inform decisions on resource allocation and policy and program improvement.

The department has an *Evaluation Strategy* to support capability in quality evaluations, which includes a schedule of evaluations that are overseen by an Evaluation Steering Committee. The steering committee provides high level guidance to ensure that evaluations are clearly focused, conducted in a consistent and professional manner, and provide for findings to be incorporated into strategic decision-making and improved program planning and management across the department.

Accountable officers are responsible for acting on opportunities for improvement, and are expected to ensure that actions for improvement identified through any review, evaluation or audit process are progressed to implementation. Actions, responsibilities and timelines are documented to ensure expectations are clearly communicated to those with assigned responsibilities, and improvements are transparent and closely monitored.

Queensland Audit Office *Better Practice Guide – Output Performance Measurement and Reporting*

http://www.qao.qld.gov.au/downloadables/publications/best_practice/qao_bpg_output_report.pdf

DET Evaluation Strategy

<http://deta.qld.gov.au/publications/strategic/evaluation/>

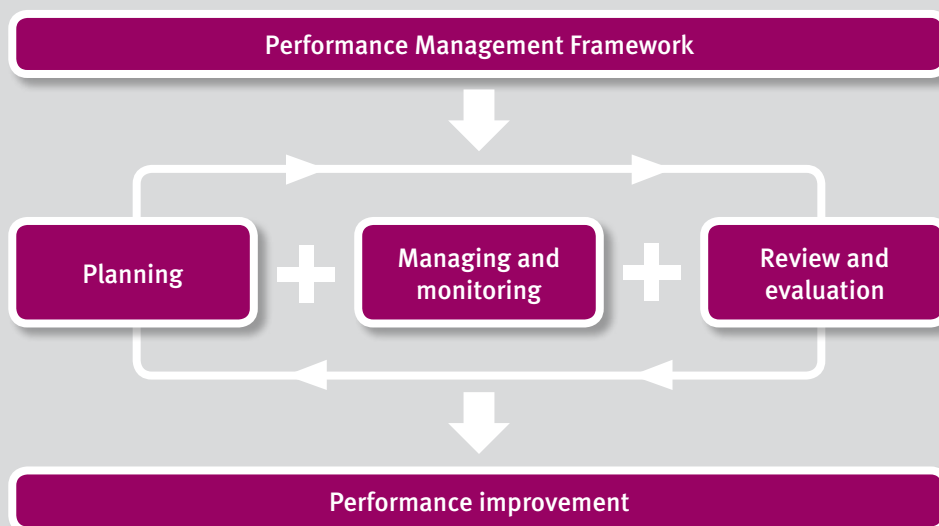


Figure 6: Performance Management Framework

Developing the capacity and capability of the organisation

The department improves the capabilities of its people through targeted professional development, providing programs suitable for employees throughout the various phases of their career. This development is determined in the context of the Developing Performance process, and supported by a suite of standards and capability frameworks.

Public Service Capability and Leadership Framework

The Queensland Public Service Capability and Leadership Framework (CLF) has been developed as an overarching capability framework for the Queensland Public Service for identifying, understanding and building leadership and capability across all agencies. The core capabilities within the CLF are reflected in a range of the department's human resource management practices and processes, for example, recruitment and selection processes. The CLF provides a common language to describe the work of public servants, and describes the behaviours expected of all public service staff.

Professional standards

Professional standards describe the abilities, knowledge, understanding and professional values that departmental staff within particular professions are expected to demonstrate. Sets of standards are used to guide professional growth and the development of teachers, principals and public servants. Current sets of standards are accessible from the DET website.

Professional development

The department's policy on employee professional development, *SDV-PR-001: Employee Professional Development*, outlines its ongoing commitment to enhancing staff professional knowledge and skills.

Effective planning for staff professional development is informed by:

- whole-of-government priorities
- departmental imperatives
- school, TAFE or work unit capability needs
- individual capability requirements, career goals and interests.

With a highly skilled workforce, the department can deliver quality education services for students in diverse locations and contexts across the state.

The department's Workforce Capability and Performance Unit works in partnership with departmental leaders and staff to assist officers to:

- prioritise their development needs
- develop the capabilities and culture required to achieve their business goals
- improve their planning and performance processes
- create a workforce development plan or individual development plans

- increase the return on investment in capability development
- increase the impact of development activities on workplace behaviour
- strengthen leaders' skills in performance conversations
- align their team's work to organisational goals.

All departmental employees can access performance and professional development opportunities throughout various phases of their career — from aspiring through beginning, consolidation and growth, to high achieving and transitioning to other roles.

Extensive 'in-house' development programs enhance the capabilities and performance of individuals and teams. In addition, staff can engage in a vast variety of targeted statewide programs that:

- promote quality practice
- build leadership capability
- support professional networks
- embrace new technologies.

The *Education Queensland Professional Development Plan for State Schools 2010–2012* outlines the key professional development priorities for Queensland's state schools.

Professional development can be delivered through workshops or seminars, residential schools, information sessions, conferences, networks, coaching or mentoring, or online learning. The professional development programs listed below acknowledge, value and strengthen those learning opportunities by providing structure and direction to within-school professional development.

- The Learning Place — DET's secure eLearning environment, providing access to an innovative range of digital resources and eSpaces for teaching and learning, collaborating and networking
- online learning
- planning tools
- PLOT — a collection of practical online resources tailored to make a sustained difference to teacher practice and student learning.

The *Queensland VET Professional Development Strategy* helps to ensure our vocational education and training (VET) workforce remains highly skilled and valued as a key contributor to Queensland's ongoing economic development. It places a high priority on maintaining a high capacity workforce, including a strong teaching profession and skilled leadership and management, through professional learning and training. It highlights the department's strong commitment to valuing all employees within the VET sector, and emphasises the need to build and share expertise across the sector.

The Workforce Capability and Performance Unit produces regular bulletins, providing information on a range of professional development opportunities available to all employees. They feature professional development managed or supported by central office business units, or delivered by professional associations, universities and other government agencies. In addition, Professional Development Calendars

are regularly compiled to provide a schedule of upcoming professional development events to support individual, team and school or work unit planning.

DET procedure SDV-PR-001: *Employee Professional Development*

<http://education.qld.gov.au/strategic/eppr/staff/sdvpr001/index.html>

Recognition programs

The department has established a comprehensive suite of scholarships, grants and awards for current and future employees, which focus on organisational improvement through recognition and professional development.

Departmental scholarships and grants include:

- the prestigious TJ Ryan Memorial Medal
- scholarships for high-achieving Year 12 students
- pre-service scholarships for:
 - Year 12 graduates from rural or remote areas of Queensland
 - Aboriginal and Torres Strait Islander people aspiring to become state school teachers
- grants that enable departmental employees to:
 - pursue individual professional development opportunities
 - continue their tertiary studies
 - undertake a national or international study or professional development program.

A new reward and recognition program has been established for all employees, to take effect from 2011. The DET Staff Excellence Awards recognise outstanding service from staff members, regardless of the sector or location in which they work. This program is being implemented in addition to the Service Recognition and Teacher Excellence Career Milestone awards; DET's ongoing program recognising long and valued service within the department. These awards acknowledge the valued service of teachers at five, 10 and 20 years service, and all employees at 25 years service and retirement.

There are a range of other excellence awards that contribute to the department's culture of continuous improvement by recognising the achievements of staff, schools and institutes, including:

- Australia Day Achievement Awards
- Public Service Medal
- Queensland Public Sector Excellence Awards
- Showcase Awards for Excellence in Schools
- Training Staff Recognition Awards
- World Skills Australia National Training Awards.

Recognition, Awards and Competitions

www.education.qld.gov.au/schools/awards.html

Department of Education and Training Staff Excellence Awards

<http://education.qld.gov.au/staff/development/staff-awards/index.html>

Internal control frameworks and financial assurance

The department's internal control framework consists of the following interrelated components:

- control environment — this sets the tone by providing the foundation for all other components of internal control. It includes integrity, ethical values and the competence of all officers and staff
- risk assessment — this is the identification and analysis of relevant risks, internal and external, to the achievement of government and departmental goals
- internal control activities — these are the policies and procedures established by the department and documented in the FMPM to address the risks and assist in the achievement of goals
- information and communication — pertinent information must be identified, captured and communicated in a form and timeframe that enables officers and staff to carry out their responsibilities
- monitoring — internal control systems must be monitored to assess the quality of the internal control system over time.

The department's internal controls are classified as: financial internal controls (to assist the department in ensuring that its financial transactions are appropriately authorised, processed and recorded) and non-financial controls (to assist the department to achieve its objectives and delivery of services).

Section 77(2)(b) of the *Financial Accountability Act 2009* requires that for each financial year, the Chief Financial Officer (CFO) must give the accountable officer a 'statement about whether the financial internal controls of the department are operating efficiently, effectively and economically'.

In issuing this statement to the accountable officer, the CFO relies on the strength of the department's internal control framework, statement of assurance for each region, business unit and TAFE institute (certified by responsible officers), the self assessment framework for schools developed by internal audit, and audit testing of key financial and internal controls.

Internal audit

Internal audit is a key pillar of good public sector governance by providing unbiased, objective assessments of whether public resources are responsibly and effectively managed. It is concerned with the adequacy of risk management and internal control systems, efficiency and effectiveness of assessing operations, asset safeguarding, and regulatory compliance in schools, TAFE institutes and business units.

Internal audit currently meets its obligations under the *Financial Accountability Act 2009* through its provision to management of an independent view on whether the organisation has an appropriate risk and internal control environment. A self-assessment framework to assist schools in monitoring and enhancing internal controls will support the CFO in meeting the organisation's obligations under the Act.

External audit and review

The department is subject to a range of external review processes, including those conducted by the Queensland Auditor-General, in the form of financial and compliance, information systems and performance management systems audits. Parliamentary committees established through the Legislative Assembly of Queensland investigate specific issues, and have a continuing role in monitoring and reviewing public sector organisations against the legislation or particular areas of activity.

Periodically, the Queensland Government commissions independent reviews, which encompass one or more portfolios.

Recent examples include:

- Queensland Education Performance Review (the Masters Review), which examined the performance of Queensland primary schooling, with a specific focus on potential improvement to literacy, numeracy and science outcomes
- Review of Government Boards, Committees and Statutory Authorities (the Webbe-Weller Review), which examined options for reducing unnecessary red tape, and improving overall efficiency.

Queensland Audit Office Website
www.qao.qld.gov.au/index.html

Training Ombudsman

The Training Ombudsman was established under the *Vocational Education, Training and Employment Act 2000* to assist apprentices, trainees and their employers, as well as other people involved in Queensland's apprenticeship and traineeship system. The Training Ombudsman is a statutory appointment made by the Governor-in-Council.

The position is independent of the department and provides an additional avenue for complaint, investigation and review. The Training Ombudsman reports to the Minister about referable matters and recommendations made to the Training and Employment Recognition Council.

A specific role of the Training Ombudsman is to investigate complaints from apprentices, trainees and employers who believe they have been treated unfairly or unreasonably.

Training Ombudsman
<http://trainingombudsman.qld.gov.au>

7. Risk management

Risk management is an integral part of the department's management processes and an essential function of corporate governance. The department's effectiveness is enhanced when risk management is part of the department's culture and is embedded in its values, practices and business processes.

Risk management focuses on the relationship between risk and its impact on achieving objectives. The alignment of risk management with the strategic planning processes facilitates closer interaction between the revision of plans and the reassessment of risks. It is most effective when an appropriate balance is realised between maximising the potential gains that are identified during the business planning process and minimising the potential losses or a risk event.

All departmental employees have a responsibility for managing risk in order to support the achievement of the department's objectives.

Risk management and business continuity management need to be considered as part of an integrated whole and, as such, business continuity management is considered a required outcome of the enterprise risk management process.

Queensland Audit Office Better Practice Guide – Risk Management

[http://www.qao.qld.gov.au/downloadables/publications/best_practice/BP%20Guide%20-%20Risk%20Management%20-%20October%202007%20\(web\).pdfs](http://www.qao.qld.gov.au/downloadables/publications/best_practice/BP%20Guide%20-%20Risk%20Management%20-%20October%202007%20(web).pdfs)

Enterprise Risk Management Framework

The Enterprise Risk Management Framework sets out the key principles that guide the implementation of risk management at all levels – central office divisions, regions, schools and TAFE institutes. It provides the necessary foundations and organisational arrangements for managing risk within the department, and illustrates how risk management should be embedded in all business units to ensure effective risk management strategies are integrated in all work contexts.

The risk management process is an integral part of our day-to-day activities. Identifying, monitoring, reporting and controlling risk is a part of our planning, performance management and reporting processes. This approach results in a proactive risk management philosophy. The department has adopted the Australian/New Zealand and International Standard for Risk Management (AS/NZS ISO 31000:2009) and its application, based on the seven-step risk management process.

DET procedures to support Enterprise Risk Management <http://education.qld.gov.au/strategic/epr/finance/fnmpr003/index.html>

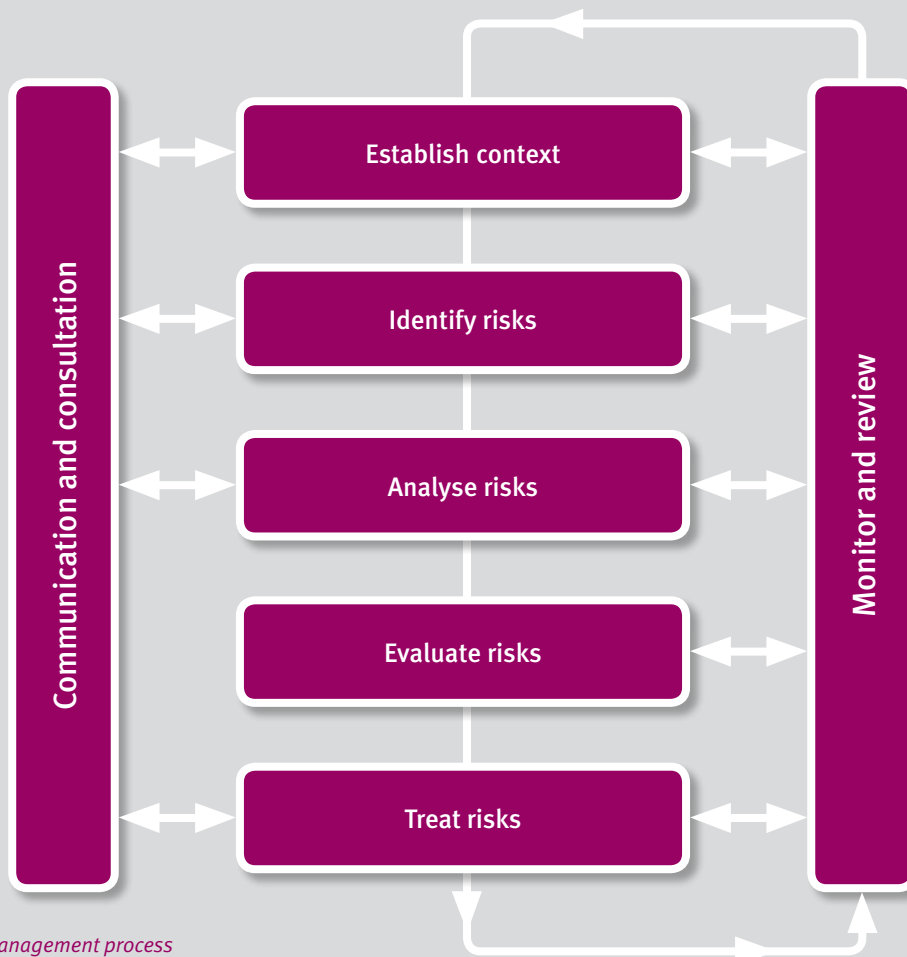


Figure 7: DET risk management process

Business Continuity Management Framework

Business continuity management focuses on the risk of failure to deliver critical services in the event of a disaster or crisis. It is a proactive, holistic and continuous improvement approach, which covers all hazards and aims to build high level resilience in all departmental sites and services when facing major adverse events. It contributes to the creation of a capable, agile and sustainable organisation. The department has adopted the Australian and New Zealand Standard for Business Continuity – managing disruption related risks (AS/NZS 5050:2010).

The Business Continuity Management Framework guides the development of plans and procedures for central office divisions, regions, schools and TAFE institutes. These link with the planning cycle for three core phases of planning and preparation, response and recovery. The framework guides all staff in effectively and efficiently managing business continuity, and illustrates the way that business continuity management is embedded in the department's Enterprise Risk Management Framework. The framework identifies the primary roles associated with managing disruption-related risk and provides an overview of the responsibilities of each role.

Business Continuity Management – *Building resilience in public sector entities*, Australian National Audit Office
<http://www.anao.gov.au/BetterPracticeGuides/toc.html>

Enterprise risk management and business continuity management procedures and plans

Implementation of the Enterprise Risk Management and Business Continuity Management Frameworks is supported by a range of procedures and plans. This ensures that the diverse range of activities and services of the department are being explicitly addressed.

The provision of procedures, guidelines, professional development, operational tools and planning advice is continually reviewed and updated to ensure all departmental staff have access to, and support in, best practice risk and business continuity management.

