

# OUR NEW STRATEGIC PLANNING FRAMEWORK

## Our Vision

*Strive – Lead – Excel / to make a difference*

## Our Purpose

To provide independent assurance to the Parliament and Community on the performance and accountability of the Tasmanian Public Sector.

The outputs we will deliver to enable achievement of this purpose are:

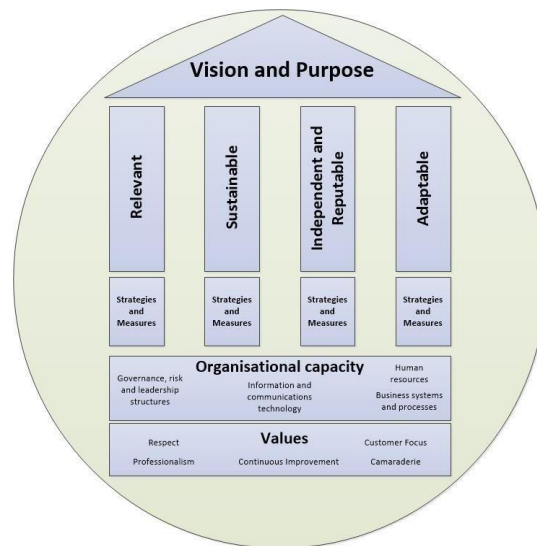
- Audit assurance – independent assurance of Tasmanian public sector financial reporting, administration, control and accountability.
- Parliamentary reports and services – independent assessment of financial performance and position of the State and of State entities and of the performance of selected Tasmanian public sector activities including scope for improving economy, efficiency and administrative effectiveness.

## Our Pillars

- Relevant
- Sustainable
- Independent and Reputable
- Adaptable

# Our strategic planning framework

Our strategic planning framework is summarised in the following diagram



## The pillars

### *Relevant*

We remain contemporary, competitive and customer focused to meet the needs of our staff, stakeholders, clients and mandate.

### *Sustainable*

We adopt practices that will enable us to continue to do what we do without adverse effect on our finances, people, the environment or society.

### *Independent and Reputable*

We preserve our independence and reputation to ensure that we maintain the confidence of our stakeholders and clients.

### *Adaptable*

We are nimble and responsive in the face of an ever-changing environment and take advantage of opportunities as they arise.

## Organisational capacity

Relevant organisational capacity underpins our strategic plan without which achievement of our goals would be impossible. Existing organisational capacity is based on our governance and leadership structures, systems and processes in particular our:

- legislative mandate
- financial and human resources
- business systems and processes
- information and communications technology
- management of risk.

These factors are constantly under review with strategies and actions taken to improve capacity when necessary.

## Our values

Our five values underpin everything we do and represent the way we go about achieving our vision:

### ***Professionalism: How we go about our work***

- At all times we act with integrity and independence, are ethical, knowledgeable, informed, transparent and work to the highest standards.

### ***Respect: How we treat others and expect to be treated***

- Be civil, courteous, credible, value others and be valued.

### ***Customer Focus: How we deliver our services***

- We will understand our customers' needs, honour our commitments, build long-term relationships and foster good communication.

### ***Camaraderie: How we work together***

- Positive environment through teamwork, support and good working relationships.

### ***Continuous Improvement: How we move forward and work better***

- Improving efficiency and effectiveness of everything we do through innovation, learning and development.

## TAO SUPPLEMENTARY STRATEGIC PLAN 2012-15

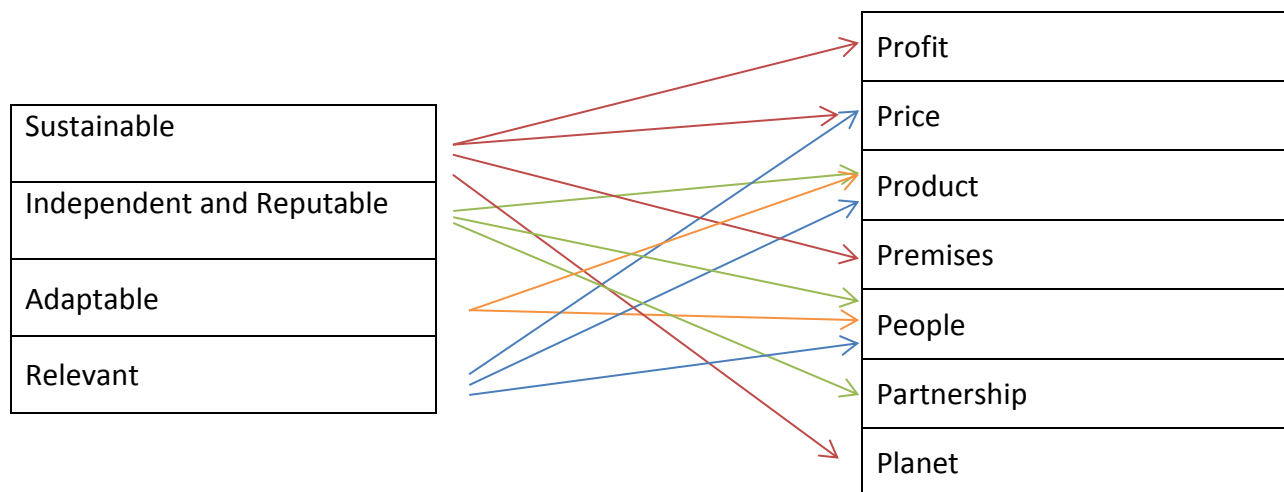
This supplementary plan does not replace the original plan with the Office to be accountable for both.

Progress against TAO's current four year strategic plan covering the period 1 January 2012 to 31 December 2015 was reviewed in December 2013. That review assessed progress against all strategies and activities outlined and resulted in:

- Confirmation of our vision, purpose, outcomes and outputs and our values.
- Replacement of our critical success factors with the following four pillars:
  - Sustainable
  - Independent and Reputable
  - Adaptable
  - Relevant
- Inclusion of a new element termed 'organisational capacity'.

Achievement of all four pillars is essential to achievement of our vision. Each pillar is defined and measures to assess performance developed. These are attached to this supplementary strategic plan, with application to be effective from 1 July 2014.

Our current four-year plan was based on seven Ps being Profit, Price, Product, Premises, People, Partnership and Planet which align with the four pillars as follows:



Essentially this means that while this supplementary strategic plan introduces changes, our overall objectives remain the same. However, our measures of success will change and be more closely aligned to our vision.

## Linking strategy and risk

Our current headline risks, and their link to the most relevant pillar/s, are detailed in the table below:

Headline Risk	Pillar
Issuance of an inappropriate audit opinion/Parliamentary report (covers both Financial and Performance Audits)	Relevant, Adaptable, Independent and Reputable
Inappropriate governance and risk management structures and processes	Relevant, Sustainable, Adaptable
Inappropriate or unauthorised use of Client information and/or audit work papers and findings	Independent and Reputable
Inadequate Business Continuity Plan or Disaster Recovery Plan	Sustainable
Loss of key resources (key person dependency)/inability to maintain appropriate staff levels	Sustainable
Injury or harm to employees	Relevant, Sustainable
Financial sustainability	Sustainable, Adaptable, Independent and Reputable
Financial fraud	Independent and Reputable, Sustainable
Inadequate or ineffective internal systems and processes leading to loss of productivity	Relevant, Sustainable
Poor stakeholder and client engagement or relationship management practices	Independent and Reputable, Relevant

- Note that risk mitigation strategies are dealt with in operational plans.

TAO SUPPLEMENTARY STRATEGIC PLAN 2012-15			
What we will do			
Our Objectives under each pillar, measures of performance and responsibilities			
RELEVANT	MEASURES	TARGET	BY WHO?
1. Foster sound communications and engagement with stakeholders	<i>Survey – Biennial independent survey of Parliamentarians:</i>		
	<ul style="list-style-type: none"> <li>Overall satisfaction with reports and services</li> </ul>	75%	Whole of Office (WOO)
	<ul style="list-style-type: none"> <li>Provide valuable information on Public Sector performance</li> </ul>	80%	WOO
	<ul style="list-style-type: none"> <li>Reports and services help to improve public sector administration</li> </ul>	75%	WOO
	<ul style="list-style-type: none"> <li>Performance audits addressing key areas of interest</li> </ul>	75%	AG and PAS
	<ul style="list-style-type: none"> <li>Percentage of recommendations agreed and acted upon 24-36 months since tabling of a performance/compliance audit report (will require liaison with PAC for audits followed up by them)</li> </ul>	70%	
	<ul style="list-style-type: none"> <li>Extent to which advice/information provided by the Auditor-General or his Office addresses your needs</li> </ul>	75%	WOO
	<ul style="list-style-type: none"> <li>Biennial independent survey of audit clients – overall performance (process, reporting, value):               <ul style="list-style-type: none"> <li>FAS</li> <li>PAS</li> </ul> </li> </ul>	75% 75%	FAS PAS
	Annual program of meeting of key stakeholders	100%	AG and EMG
Communication Strategy developed and implemented	31-12-2014	EMG	
2. Maintain adequately skilled workforce and modern technological tools	Implement centralised learning and development programs	30-6-2014	EMG
	Develop and implement updated capability framework	30-6-2014	EMG
	ICT Strategic and HR Strategic Plans implemented	Targets in Plan	EMG
	Develop workforce plan addressing succession planning and key person dependency	30-6-2015	EMG
ADAPTABLE	MEASURES	TARGET	BY WHO?
3. Continuously review and improve cost effective service delivery and add value for internal and external stakeholders	<i>Survey – Independent survey of clients – process, reporting, value:</i>		
	<ul style="list-style-type: none"> <li>Overall performance - FAS (ACAG Biennial survey)</li> </ul>	75%	FAS
	<ul style="list-style-type: none"> <li>Overall performance - PAS (ACAG Biennial survey)</li> </ul>	75%	PAS
	<ul style="list-style-type: none"> <li>Overall performance - CSS (Internal survey)</li> </ul>	75%	CSS
	Timeframes for issuing of financial audit opinions: <ul style="list-style-type: none"> <li>Within 45 days of accepting financial statements</li> <li>ACAG MBM measure (8) – time frames for issuing opinions</li> </ul>	100% ≤ S&T avg	FAS
	Average elapsed time for performance audits	<ul style="list-style-type: none"> <li>Avg 9 mths</li> <li>≤ S&amp;T avg ACAG MBM</li> </ul>	PAS
	Total attest audit costs/\$'000 of public sector assets & transactions	Avg ACAG MBM	FAS
	Cost per unit of output for Performance audits	Lowest S&T in ACAG MBM	PAS
	Items on improvement register	4 per unit p.a.	WOO
Improvements provided to each client	1 per client avg p.a.	FAS	
4. Monitor and respond to internal and external influences on our business	Positive feedback from stakeholders: Independent survey of Parliamentarians: Responsiveness of the Auditor-General or his Office	85%	WOO
	Positive feedback – Annual survey of FAS clients	75%	FAS
	Positive feedback – Annual survey for CSS services	75%	CSS
	Compliance with regulatory and policy requirements – Compliance breaches as recorded in the Compliance Register	No breaches	WOO
	Provision of advice to the AG	Standing item EMG, SLG, AC agendas Annual asmt	EMG, SLG, AC AG

5. Provide flexible work practices & staffing arrangements	Staff satisfaction rating in survey	75%	WOO
	Staff turnover	<10%	EMG
	Requests for flexible working arrangements approved	95%	WOO
<b>SUSTAINABILITY</b>	<b>MEASURES</b>	<b>TARGET</b>	<b>BY WHO?</b>
6. Recruit and retain staff that are capable, motivated and feel safe and supported	Clear simple policy and procedures (Survey - biennial)	75%	EMG
	Proportion of staff with excess leave balances	<5%	EMG
	Level of sick leave	<5days	EMG
	Level of workplace incidents – avg employee lost time hours	Zero	EMG
	Level of professional development including on the job training each year	10 days on avg	EMG
	Percentage of employee development plans implemented	100%	EMG
	Staff satisfaction rating in survey	75%	WOO
	Compliance with WHS legislation	30-6-15	AG and EMG
	Achievement of annual budget	+/- 5% overall	EMG
7. Achieve operations within financial plans	Achieve average minimum monthly cash at bank levels	\$750 000	EMG
	Achieve targets in 5 yr financial forecast (updated annually)	Achieved	EMG
	Global Reporting Initiative implemented	"C" rating	EMG/G Team
8. Be a good corporate citizen	Level of pro-bono audits	At least 3 p.a.	FAS
	Participation in Community Programs – Charity of Choice	No. Activities	WOO
	Participation in Community Programs – Volunteer for a day	Staff encourage, SLG expected	WOO
	Secondment participation	At least 1 p.a.	WOO
9. Develop and maintain professional partnerships	Representations on Boards, Committees and ACAG	Annual	AG and EMG
	Provide internships opportunities – UTAS	1 Annually	WOO
	Provide internships opportunities – Professional bodies	1 Annually	WOO
<b>INDEPENDENT AND REPUTABLE</b>	<b>MEASURES</b>	<b>TARGET</b>	<b>BY WHO?</b>
10. Maintain and enhance the quality of what we do	Level of satisfaction in Biennial Stakeholder and Client surveys	75%	WOO
	Number of high level findings from QA reviews - Internal	Nil	FAS, PAS
	Number of high level findings from QA reviews - External	Nil	FAS, PAS
	Approval by signing officer on the use of experts for each audit	100%	FAS, PAS
	Learning and Development for Staff (See point 6)		
11. A high level of visibility and public understanding	Monitor the level of exposure in the media, web hits and hansard	EMG - Mthly SLG - Qtly	WOO
	Survey stakeholders about our role	75%	WOO
	Complete annual presentations plan covering our role and work	90%	AG and EMG
12. Preserve our independence	The Office operates under its own Industrial Agreement	Achieved	AG and EMG
	Process for setting of our appropriation budget involves PAC consultation and/or the Office becomes deficit funded.	Achieved	AG and EMG
	The Office is a statutory authority	Achieved	AG and EMG
	Completion of annual staff declarations	100%	WOO
	Independence processes complied with	100%	WOO
	Stakeholders consider us as to be independent as measured by survey	100%	WOO
13. Respond appropriately to all enquiries and recommendations	Timely responses to enquiries from external parties	Within 20 days	WOO
	Enquiries assessed in accord with our SOP or other legislative requests	100%	WOO
	Recommendations arising out of internal/external reviews – When agreed, including timeframes	100%	WOO
	Recommendations arising out of internal/external reviews – Level of recurrence of the same matters	Nil	WOO
	Recommendations arising out of internal/external reviews – When disagree – reasons provided are approved by EMG and endorsed by the AG	100%	WOO