

Monitoring effectiveness of road safety community education programs

Internal Audit assurance report

August 2024

Control sheet

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Branch	Land Transport Safety & Regulation (LTSR)	
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Internal Audit assurance report — Monitoring effectiveness of road safety community education programs

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1. Executive summary

Background and context

Road safety community education focuses on establishing practical knowledge, skills, strategies and risk awareness to build a better road safety culture and embed positive road safety attitudes. As a result, it plays an important role in shaping the current and future road behaviour of the community to keep them safe on the road.

Regular on-going community education campaigns are delivered through the StreetSmarts program, targeting high-risk behaviour and vulnerable road users through strategic, targeted campaigns, sponsorship, digital communication and community engagement to encourage safer road use.

Through informing, educating and influencing Queenslanders, StreetSmarts contributes to achieving Queensland Government's targets including the long-term vision for road safety of zero lives lost and serious injuries by 2050 and the shorter-term targets of a 50% reduction in population fatality rate and a 30% reduction in population serious injury rate by 2031 under the Queensland Road Safety Strategy (QRSS) 2022-31.

The Queensland Road Safety Action Plan 2022–24 (QRSAP) outlines 20 initiatives which will be implemented to help achieve these targets. Delivering StreetSmarts hopes to address the human factors, targeting particular demographics engaging in risky on-road behaviours.

Objectives and scope

As per the approved 2023-24 Internal Audit Plan, a review of StreetSmarts was undertaken. The objective of this audit is to review the adequacy of controls and processes around delivery of StreetSmarts, including the following areas:

- Investment prioritisation decisions
- Campaign approval processes
- Campaign creative process

- Evaluation of campaign effectiveness (includes qualitative and quantitative data analysis which forms an evidence-based approach to investment prioritisation).

Refer to **Appendix A** for further information on the scope and approach for this engagement and **Appendix B** regarding the key stakeholders interviewed.

Conclusion

Overall, the controls and processes around delivery of StreetSmarts are generally adequate as noted in the positive observations. However, there are improvement opportunities in the following areas:

- Documenting a procedure for approving additional funding for StreetSmarts campaigns.
- Capturing campaign documents on a timely basis in the Document Management System (DMS)
- Developing a program-level risk register for StreetSmarts.
- Consider incorporating public education in the evaluation methodologies being utilised to measure the impacts of initiatives to address road trauma.
- Improving StreetSmarts strategy document.

Appendix C contains a table documenting Internal Audit's assessment of key risks and associated controls as identified in this review.

Positive observations

Observation 1

Controls and processes around "investment prioritisation decisions" are robust:



The investment prioritisation decisions are based on clearly defined criteria, outlined in the annual planning process document. The annual plan distinctly outlines the campaigns targeted for investment in the upcoming year (or beyond), their scheduled timelines from inception to launch, and the associated budgetary allocations.

Observation 2

The targets for the StreetSmarts program are specific and measurable:



Long-term visions for road safety of zero lives lost and serious injuries by 2050 and shorter-term targets of a 50% reduction in population fatality rate and a 30% reduction in population serious injury rate by 2031 are specified under the Queensland Road Safety Strategy 2022-31.

Observation 3

StreetSmarts program engages SMEs for performing market research, independent review, media strategy and creative production.



Key issues / opportunities

#	Title	L ¹	M	B
①	No procedure for approving additional funding		●	
②	Campaign documents are not timely captured in Document Management System (DMS)		●	
③	Absence of a program-level risk register	●		
④	Consider incorporating public education in the evaluation methodologies being utilised to measure the impacts of initiatives to address road trauma			●
⑤	Improvements to StreetSmarts strategy document			●
Refer to Section 3 for information regarding ratings.				
Totals		1	2	2

¹ L = Low; M = Medium; H = High; X = Extreme; B = Business Process Improvement (BPI) Opportunity.

2. Report on a page (Details are outlined in section 3 below)

Conclusion		Positive Observations		
 <p>Overall, the controls around delivery of StreetSmarts are generally adequate, but there are improvement opportunities in areas of documenting a procedure document for approving additional funding, timely capturing campaign documents in the DMS, developing a program-level risk register, incorporating public education in the evaluation methodologies to address road trauma and improving the strategy document.</p>		<p>Observation 1 Controls and processes around "investment prioritisation decisions" are robust</p> <p>Observation 2 The targets for the StreetSmarts program are specific and measurable</p> <p>Observation 3 StreetSmarts program engages SMEs for performing market research, independent review, media strategy and creative production</p>		
Key controls assessment		Observations and recommendations		
		Observations	Summary of Recommendations	Controls
A	Defined criteria around investment prioritization decisions	MEDIUM No procedure for approving additional funding	<ul style="list-style-type: none"> Develop a procedure for approving additional funding for StreetSmarts that includes: <ul style="list-style-type: none"> ➢ Defined criteria for approving additional funding ➢ A path of escalation ➢ A responsibility assignment matrix (a RACI matrix) ➢ Approval thresholds of designated team members who may make a Go / No-Go decision if the additional funding is considered to be too much ➢ A defined threshold of what a "significant change of budget" is (say a threshold of certain %, or a certain dollar value) 	B
B	Defined procedure around campaign approval			
C	Campaign creative process is documented	MEDIUM Campaign documents are not timely captured in DMS	<ul style="list-style-type: none"> Implement measures for ensuring that campaign documents are timely captured in DMS 	I
D	Defined procedure for evaluating campaign effectiveness against the objectives of StreetSmarts			
E	Lessons learnt are documented and actioned	LOW Absence of a program-level risk register	<ul style="list-style-type: none"> Maintain a program-level risk register for StreetSmarts 	E
F	Good segregation of duties	BPI Consider incorporating public education in the evaluation methodologies	<ul style="list-style-type: none"> Consider incorporating public education in the evaluation methodologies being utilised to measure the impacts of initiatives to address road trauma 	D H
G	Alignment with QPS enforcement priorities			
H	Alignment with the Queensland Road Safety Strategy 2022-31	BPI Improvements to StreetSmarts strategy document	<ul style="list-style-type: none"> Add a control sheet to the StreetSmarts strategy document Add a security classification of either "Protected", "Sensitive" or "Official" Avoid using acronyms where possible Be consistent in using the words such as "baseline" and "benchmark". 	D
I	Compliance with relevant TMR and WoG policies and procedures			

3. Details of issues / opportunities

Issue and opportunity ratings

Issues identified during an internal audit review are categorised into Extreme; High; Medium; and Low risk as per the TMR risk assessment and ratings matrix (see the [Tools and Templates](#) page). The matrix is used by TMR as part of a formal framework for addressing and managing risk, with organisational involvement dependent on the level of risk. A business process improvement (BPI) opportunity is principally focused on improving the effectiveness, efficiency, or economy of an existing business process. BPI opportunities are rated accordance with the opportunity assessment and ratings matrix (also on the [Tools and Templates](#) page), based on the benefits that they are expected to deliver if implemented.

COSO control components

The *Internal Control – Integrated Framework* issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO) is recognised as a leading framework for designing, implementing, and conducting internal control, and assessing the effectiveness of internal control. The Framework:

- recognises that organisational structures vary from informal to clearly defined.
- groups organisational objectives (what an organisation seeks to achieve) as:
 - *Operational* – relates to the effectiveness and efficiency of operations, including performance and financial goals, and safeguarding assets against loss.
 - *Reporting* – relates to internal and external financial and non-financial reporting, and may include reliability, timeliness, transparency, or other aspects addressed by regulators, recognised standard setters, and the organisation's policies.
 - *Compliance* – relates to adherence to laws and regulations applicable to the organisation.
- sets out five integrated components of internal control, namely: Control Environment; Risk Assessment; Control Activities; Information and Communication; and Monitoring.

Each issue noted below identifies the relevant COSO control component.

Behavioural drivers

Behavioural drivers are factors that influence the behaviour of employees, forming the climate (culture of an organisation in the present moment) of an organisation. Strong behavioural controls can influence employees to behave ethically and in line with an organisation's objectives. Internal Audit uses a methodology based on behavioural studies to categorise behavioural drivers that can positively or negatively impact the organisational control environment.

The methodology categorises behavioural drivers as: Clarity, Social Cues, Engagement, Achievability, Transparency, Speak-up, and Consequences (details of the drivers are provided in **Appendix D** of this report).

Application of the methodology facilitates analysis of the drivers underpinning undesirable behaviours in an organisation. With improved understanding of those drivers, the actions developed to address the root causes of hard control failures are more likely to result in long-term resolution of the associated issues.

Issues rated as *Medium* and above are assessed for the key behavioural root cause considered to be facilitating the breakdown of the relevant hard control.

1. No procedure for approving additional funding

MEDIUM

Observations

What did Internal Audit find?

COSO component

CONTROL ENVIRONMENT

Clear procedures and governance requirements for approving additional funding for a campaign ensures transparency, consistency in the process. Clarity in roles and responsibilities promotes accountability in decision making and whether additional funding should be approved for the campaign budget.

Currently additional funding requests for the StreetSmarts campaign on top of the approved GACC (Government Advertising and Communication Committee) budget are discussed among Director (Community Road Safety) and/or Executive Director (Policy, Safety Regulation) and/or General Manager (Land Transport Safety & Regulation) on a case-by-case basis, sometimes including liaison with Director (Strategic Communications). This assessment and authorisation process is not defined or documented in a procedure document. Although GACC guidelines require a re-submission of Stage 1 if there is a significant change of budget, no definition exists around what is considered a 'significant change of budget'.

It is noted that any variance from the approved budget is detailed in the GACC Stage 4 evaluation post-campaign when the additional funding had already been incurred. The Stage 4 evaluation process does not serve as a control when the amount is committed/spent with no prior authorisation for variation and a decision of "Go/No-Go" can no longer be made.

Behavioural root cause analysis

What is the primary behavioural root cause of the issue?

Lack of clarity of communicated roles and responsibilities in a procedure document.

Implication(s)

Why is this a risk/ opportunity?

- Poor accountability: Without a defined procedure we cannot expect consistent application of controls. It then becomes challenging to identify procedural issues to improve the process over time.
- Weakness in strategic alignment: Decisions on approving additional funding may not align with strategic priorities if there is no process to ensure that they contribute to the overall objectives of StreetSmarts.

Recommendation(s)*What are the suggested actions to address this risk/ opportunity?*

It is recommended the Director (Community Road Safety) develop a procedure for approving additional funding for StreetSmarts that includes:

- Defined criteria and milestones for approving additional funding,
- A path of approval escalation, who may make a Go / No-Go decision if the additional funding is considered to be too much
- A responsibility assignment matrix (a RACI matrix),
- A definition of what a "significant change of budget" is (say a threshold of certain %, or a certain dollar value).

Management response(s)*What will management do to address the risk/ opportunity?***Action Owner(s) and due date(s)***Who will deliver the action(s), and by when?*

1. Management agrees to develop a procedure for approving additional funding for a campaign.

Action 1: Kerrie Tregenza, Director (Community Road Safety)

Due date: 01/11/2024

2. Campaign documents are not timely captured in Document Management System (DMS)

MEDIUM

Observations

What did Internal Audit find?

COSO component

CONTROL ACTIVITIES

The Document Management System (DMS) is one of TMR's current approved recordkeeping systems. All TMR employees are responsible to ensure public records generated through TMR's business functions are captured properly in DMS². Authors or custodians of TMR information are responsible for ensuring public records information is appropriately classified, risk assessed, retained, accessed, and disposed. Profiling of information value can be determined by using the matrix, "TMR Information Assets: Identifying the value profile" (Appendix D).

After discussion of this audit finding, actions have been taken to address the issue including adding a reminder of the DMS requirements on the campaign checklist and organising a workshop for reminding team members of the DMS requirements and capturing the documents in DMS throughout the campaign process.

Behavioural root cause analysis

What is the primary behavioural root cause of the issue?

Lack of clarity of communicated roles and responsibilities.

Implication(s)

Why is this a risk/ opportunity?

- Non-compliance with TMR's *Records Management Policy – May 2021* and the *Public Records Act 2002*.
- Data accessibility issues: Without timely capturing campaign data into a centralised system, data cannot be easily accessed by management when needed, creating barriers to real-time analysis and decision-making.
- Reputation risks: Campaign files are not timely captured in a centralised system, reducing the reliability of information and data when responding to public enquiries and Right to Information (RTI) requests which may lead to a loss of community confidence in the StreetSmarts program if they perceive data management practices to be disorganised or unreliable.

² <https://intranet.tmr.qld.gov.au/sites/SRU/Pages/Education.aspx>

- Increased risk of data loss: With delays in capturing campaign files, there is a heightened risk of losing important documents due to mishandling or technical issues, thereby impacting data continuity.

Recommendation(s)

What are the suggested actions to address this risk/ opportunity?

It is recommended the Director (Community Road Safety) to implement measures for ensuring that campaign documents are timely captured in Document Management System (DMS).

Management response(s)

What will management do to address the risk/ opportunity?

Action Owner(s) and due date(s)

Who will deliver the action(s), and by when?

The following have been actioned at the time of the internal audit:

1. Keep record up-to-date by creating additional folders and adding all relevant documents.

Action 1: Kerrie Tregenza, Director (Community Road Safety)

Due date: 21/06/2024

2. Organise refresher training for the team in record management.

Action 2: Kerrie Tregenza, Director (Community Road Safety)

Due date: 21/06/2024

3. Add record keeping requirements to the campaign checkiist.

Action 3: Kerrie Tregenza, Director (Community Road Safety)

Due date: 21/06/2024

3. Absence of a program-level risk register

LOW

Observations

What did Internal Audit find?

COSO component

CONTROL ACTIVITIES

Although there is a branch-level risk register in TMR's Risk Management System (RMS), there is no risk register for StreetSmarts to document and guide the management of risks at the program level.

Implementing a program-level risk register presents a granular perspective that is useful and practical in managing operational level risks that may be specific to StreetSmarts program. Management can also better identify and assess the effectiveness of the controls and treatments at a program level. This helps in aligning individual program risk responses with the overarching strategic goals and risk appetite reflected in the branch risk register. Maintaining both registers will aid in creating a robust defence against potential threats and fostering a culture of risk-aware decision-making.

For guidance, please refer to "Appendix D Risk assessment guidelines in Portfolio, program and project management" in the "TMR Risk Management Guide³".

Implication(s)

Why is this a risk/ opportunity?

- Poor risk oversight: There may be a lack of a focused view of risks faced by the program and limits management's ability to make informed decisions based on a full understanding of the risks.
- Inadequate risk aggregation: Branch-level registers may identify risks that have broader program implications. The absence of program-level registers, limits the analysis of cumulative risks or interdependencies among various programs.
- Poor strategic planning: Without holistic visibility of risks, strategic planning could be compromised, as cumulative risks and opportunities may not be fully considered in program-level planning processes.

Recommendation(s)

What are the suggested actions to address this risk/ opportunity?

It is recommended the Director (Community Road Safety) maintain a program-level risk register for StreetSmarts, incorporating the Risk and Control Assessment content developed by Internal Audit in **Appendix C**.

³ <https://intranet.tmr.qld.gov.au/corp/riskmanagement/Documents/TMR%20Risk%20Management%20Guide.pdf#search=TMR%20Risk%20Management%20Guide>

Management response(s)

What will management do to address the risk/ opportunity?

Action Owner(s) and due date(s)

Who will deliver the action(s), and by when?

1. Management agrees to develop a local risk register.

Action 1: Kerrie Tregenza, Director (Community Road Safety)

Due date: 1/11/2024

4. Consider incorporating public education in the evaluation methodologies being utilised to measure the impacts of initiatives to address road trauma

BPI

Observations

What did Internal Audit find?

All Queensland Government campaigns are evaluated through the GACC⁴ process against campaign objectives measured through pre-and post-campaign surveys, media performance and other metrics.

Mass media campaigns are used globally as a means of promoting road safety issues. The premise of using this strategy is that targeting the population, or particular cohorts with known behaviours, can potentially alter the knowledge or attitudes of the population and provide social support for behaviour change (Redman, Spencer, Sanson-Fisher, 1990).

The road system is a high-risk complex socio-technical system and the conceptual framework used in Australia to manage safety in this system is called Safe Systems (Cattermole-Terzic, Horberry & Hassall, 2016). Through Safe Systems it is apparent that improvements to road safety require a multi-layered approach, and this has been demonstrated in evaluations across the entire landscape of road safety research. When determining the value of campaigns in road safety, therefore, it is important to understand where it fits within the Safe Systems approach and its' purpose (Wundersitz & Hutchinson, 2011).

Research reports suggesting that short-term road crash statistics are a poor measure for media campaign success (Baily & Wundersitz, 2019; Wundersitz & Hutchinson, 2011)⁵. However, the aim of campaigns is to shift long-term societal attitudes and increase knowledge and there is evidence that campaigns has achieved this – for example, Australia's shift in attitudes to drink driving over the past 30 years (Redman, Spencer, Sanson-Fisher, 1990; Baily & Wundersitz, 2019).

Currently campaign effectiveness is evaluated based on achieving KPIs of behaviour-focused objectives through changes in the results using pre-and post-campaign surveys. This is a short-term objective. The long-term objective of campaigns is to shift societal behaviour and attitudes that is reflected in the road toll trend over a period of time.

It is acknowledged that road safety community education is just one component of TMR's systems-based approach to road safety, which works in conjunction with law enforcement (such as random breath tests enforced by the QPS⁶), engineering, road design (such as blackspot program) and regulation (such as demerit points), policy and program development (such as the Camera Detected Offence Program partnered with the QPS).

⁴ Government Advertising and Communication Committee

⁵ See Appendix E for supplementary information provided by management.

⁶ Queensland Police Service

While it is difficult to make a direct correlation of educational program impact to the immediate road trauma data, such as lives lost⁷, notwithstanding this, it is still worthwhile to consider including public education in the evaluation methodologies being utilised to measure the impacts of collective initiatives to address road trauma in Queensland.

Implication(s)

Why is this a risk/ opportunity?

- Reputation risk: Members of the public, or public media⁸, may challenge the education campaign investment's value and effectiveness, as a tool in road safety initiatives.

Recommendation(s)

What are the suggested actions to address this risk/ opportunity?

It is recommended the General Manager (Land Transport Safety and Regulation) considers incorporating public education into the evaluation methodologies being utilised to measure the impacts of initiatives to address road trauma.

Management response(s)

What will management do to address the risk/ opportunity?

Action Owner(s) and due date(s)

Who will deliver the action(s), and by when?

Management has provided research evidence⁹ supporting why it is problematic to evaluate a direct correlation of educational program impact to the immediate road trauma data but considers incorporating public education into the evaluation methodologies being utilised to measure the impacts of initiatives to address road trauma which include:

1. Road Safety Climate Scale: TMR has developed a validated scale in partnership with Griffith University and collected baseline data last year. The 2024 survey for this scale is currently in field and findings are due in August.
2. GOSPA Framework: TMR has partnered with the University of the Sunshine Coast to conduct the first 'State of Queensland' report using the GOSPA (Goals, Objectives, Strategies, Program, Actions) framework measures. The report for this work is due in the final quarter of 2024.

Action 1: Nicole Downing, Executive Director (Policy, Safety, Regulation)

Due date: 31/12/2024

Action 2: Nicole Downing, Executive Director (Policy, Safety, Regulation)

Due date: 31/12/2024

⁷ Road trauma data of "hospitalised casualties" is not available until after nine months. However, the road trauma data of "fatalities" is available within the 3-month timeframe required by GACC for Stage-4 submission upon a campaign completion.

⁸ Extracted from ABC News on 24 May 2024, "As of May 19 this year, 107 people had died on Queensland roads, up from 92 fatalities the same time last year". This represents a 16.3% jump in the road trauma data of fatality based on a year-on-year comparison.

<https://www.abc.net.au/news/2024-05-24/qld-roadside-cameras-make-less-revenue/103886358>

⁹ See Appendix E for supplementary information provided by management

5. Improvements to StreetSmarts strategy document

BPI

Observations

What did Internal Audit find?

The following are deficiencies identified in the StreetSmarts strategy document:

- Missing control sheet for the StreetSmarts strategy document. A control sheet helps to manage and enhance document integrity, outlining essential details such as the document's creation date, revision history, authorship, approval record and distribution control, ensuring that users are interacting with the most updated and accurate version.
- Security classification of the StreetSmarts strategy document is missing. This classification indicates the sensitivity of the information contained in the document, guiding users on the appropriate handling and sharing protocols to maintain information confidentiality. A security classification of either "Protected", "Sensitive" or "Official" should be assessed and identified (see Appendix D).
- The words "benchmark" and "baseline" are used inconsistently in the StreetSmarts strategy document even though these words have different meanings. For instance, "benchmark value" was used to refer to "performance" prior to launching StreetSmarts when "baseline value" is a more accurate word. Further inconsistency noted where "baseline" is used in "road safety is an important social issue" whereas in "benchmark" is used in "road safety is the responsibility of the entire community".

Implication(s)

Why is this a risk/ opportunity?

- Improved governance over the strategy document enhances document integrity, information confidentiality, communication clarity and consistency.

Recommendation(s)

What are the suggested actions to address this risk/ opportunity?

It is recommended the Director (Community Road Safety):

1. Add a control sheet to the StreetSmarts strategy document, outlining essential details such as the document's creation date, revision history, authorship, approval record and distribution control.
2. Add a security classification of either "Protected", "Sensitive" or "Official" to the StreetSmarts strategy document.
3. Avoid using acronyms where possible. If an acronym must be used to comply with the TMR writing style and Accessible Communication guidelines.
4. Be consistent in using the words such as "baseline" and "benchmark".

Management response(s) <i>What will management do to address the risk/ opportunity?</i>	Action Owner(s) and due date(s) <i>Who will deliver the action(s), and by when?</i>
Management agrees to: 1. Add a control sheet.	Action 1: Kerrie Tregenza, Director (Community Road Safety) Due date: 1/07/2024
2. Add a security classification.	Action 2: Kerrie Tregenza, Director (Community Road Safety) Due date: 1/07/2024
3. Remove acronym.	Action 3: Kerrie Tregenza, Director (Community Road Safety) Due date: 1/07/2024
4. Use benchmark consistently.	Action 4: Kerrie Tregenza, Director (Community Road Safety) Due date: 1/07/2024

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4. Appendices

Appendix A: Terms of Reference

Department of Transport and Main Roads (TMR)

Internal Audit Terms of Reference – Monitoring effectiveness of road safety community education programs



Background

The purpose of road safety initiatives is to drive positive change in Queensland's road use culture through community engagement and education campaigns, focusing on high risk behaviour and vulnerable road users, as well as working with other jurisdictions to ensure consistent road safety messaging.

StreetSmarts aims at improving road safety by impacting the attitudes and behaviours of Queenslanders through strategic, targeted campaigns, sponsorship, digital communication and community engagement to encourage safer road use.

Through informing, educating and influencing Queenslanders, StreetSmarts contributes to achieving Queensland Government's targets including the long term vision for road safety of zero lives lost and serious injuries by 2050 and the shorter-term targets of a 50% reduction in population fatality rate by 2031 and a 30% reduction in population serious injury rate by 2031 under the Queensland Road Safety Strategy 2022-31.

The Queensland Road Safety Action Plan 2022–24 (QRSAP) outlines 20 initiatives which will be implemented to help achieve these targets. Delivering StreetSmarts is one QRSAP initiative to address the human factors that can influence on-road behaviour through regular on-going public education campaigns, which target particular behaviours, or demographics engaging in risky behaviours.

Engagement objectives

To review the adequacy of controls and processes around delivery of StreetSmarts, including the following areas:

- Investment prioritisation decisions
- Campaign approval processes
- Campaign creative process
- Evaluation of campaign effectiveness (includes qualitative and quantitative data analysis which forms an evidence-based approach to investment prioritization).

Scope exclusion: The Community Road Safety Grants (CRSG) scheme which was covered in a recent audit, "LTSR Community Road Safety Grants Management", completed in February 2023.

Key risks

The key risks identified in the Risk Management System (RMS) relevant to this internal audit include:

- TMR Strategic Risk 1081: Inability to maintain a safe transport system for our customers and community.
- LTSR Branch Risk 103: Road trauma exceeds levels required to meet Queensland's road trauma reduction targets for lives lost and serious injuries despite implementation of key road safety measures.

Approach

The following approach will be used:

- Review the end-to-end governance process and controls over delivery of StreetSmarts under the Queensland Road Safety Action Plan 2022–24 (QRSAP).
- Analyse roles and responsibilities of the stakeholders involved in the end-to-end governance process.
- Interview stakeholders in the above governance process, including but not limited to control owners.
- Compliance review with TMR policies and procedures and the Queensland Government Advertising and Marketing Communication Code of Conduct.

- Alignment review with the Queensland Road Safety Strategy 2022-31.

At the end of fieldwork, a report will be prepared summarising any findings or opportunities for improvement. A behavioural root cause analysis will be applied to any findings reported to facilitate insights into the cultural reasons behind control failures/compliance deficit.

Prior recommendations

Recommendations from previous engagements nominated by the branch as implemented will be verified to determine their current state.

Estimated timetable

Commence fieldwork	Finalise fieldwork	Draft report to management	Final report
25 March 2024	13 May 2024	27 May 2024	10 June 2024

Key stakeholders and the engagement team

Engagement sponsor(s)	Joanna Robinson, General Manager (Land Transport Safety & Regulation)
Management contact(s)	Nicole Downing, Acting Executive Director (Policy, Safety Regulation) Kerrie Tregenza, Director (Community Road Safety)
Internal Audit team members	Tim Van Gool, Acting Director (Audit Services) Anne Tan, Manager (Audit Services) Jennifer Horton, Acting Manager (Audit Services) Marty Yam, Principal Internal Auditor

Acknowledgement

In delivering this assurance engagement Internal Audit will comply with the Public Sector Commission's Code of Conduct and adhere to the mandatory elements of The Institute of Internal Auditors' *International Professional Practices Framework*; those elements are the Core Principles for the Professional Practice of Internal Auditing, the definition of internal auditing, and the *International Standards for the Professional Practice of Internal Auditing*.

Internal Audit appreciates your support and the cooperation of your staff as we work together.

Samara Dowling

NR

Chief Auditor

Engagement sponsor approval

On behalf of LTSR, I confirm that we understand and agree with the above Terms of Reference.

Sponsor name and title	Signature	Date
Name: Joanna Robinson Title: General Manager (Land Transport Safety & Regulation)	Email approved on	28/03/2024

Appendix B: Key stakeholders interviewed

Full name	Role / Title	Branch
Kerrie Tregenza	Director (Community Road Safety)	Land Transport Safety & Regulation
Darren Mulholland	Acting Director (Road and Rail Safety Policy & Research)	Land Transport Safety & Regulation
Tracey Houghton	Manager (Queensland Road Safety PMO)	Land Transport Safety & Regulation
Ursula Bishop	Principal Advisor (Community Road Safety)	Land Transport Safety & Regulation
Amanda Smith	Director (Strategic Communications)	Governance

Appendix C: Risk and control assessment

The table below documents Internal Audit's assessment of key risks and associated controls, as identified in this review. The information is provided to assist relevant risk / control owners with maintaining information in the relevant risk register and thus facilitate the owners' effective management of the risks / controls under their responsibility.

Risk reference	Risk & Causal factor description	Risk Owner per the register	Current risk rating	Control(s) used to manage the risk	Control effectiveness	Required action
New	Absence of pre-defined criteria and/or process documentation around investment prioritization decisions resulting in objectives of StreetSmarts not being met	New	New	1.1 There is an investment plan outlining investment prioritization decision, such as which campaigns to invest in/to launch for the coming year/or a longer timeframe, project-to-launch timeframe, and budget allocated.	Effective	N/A
				1.2 The investment plan is generated within a documented process and with reference to a list of pre-defined criteria for prioritizing which campaign to include and to come first.	Effective	N/A
				1.3 The objectives of StreetSmarts are clearly defined, documented, and communicated as the criteria for prioritizing investments in campaigns.	Effective	N/A
	Absence of a defined procedure and/or a documented process around the process of campaign approval resulting in objectives of StreetSmarts not being met			2.1 There is a documented process for approving campaigns.	Effective	N/A
				2.2 There is a documented process for managing conflict of interests and other probity issues during campaign approval.	Effective	N/A
				2.3 Campaign budgets are approved in accordance with the GACC process.	Effective	N/A
				2.4 There is a defined procedure document for approving additional funding on top of campaign budgets.	Ineffective	Issue 1
	Absence of a documented process around the campaign creative process resulting in objectives of StreetSmarts not being met			3.1 There is a documented process for campaign creative process across stages of preparation, incubation, illumination, evaluation, and implementation.	Effective	N/A
	Absence of a defined procedure and/or a documented process around the process of evaluating campaign effectiveness resulting in objectives of StreetSmarts not being met			4.1 There is a defined procedure-process document outlining the evaluation of campaign effectiveness.	Effective	N/A
				4.2 The criteria for evaluating campaign effectiveness align with the criteria used in making investment prioritization decisions and overall objectives of StreetSmarts.	Partially effective	Opportunity 4
				4.3 Campaign effectiveness is evaluated with reference to target and benchmark values set out in the annually reviewed StreetSmarts Strategy document.	Partially effective	Opportunity 4 Opportunity 5
				4.4 Campaign effectiveness is evaluated on a regular basis throughout the campaign and upon its completion.	Effective	N/A
				4.5 Evaluation records are documented and reviewed for the purpose of improving the whole campaign delivery processes, including investment prioritization decisions.	Effective	N/A
Lessons learnt were not documented and actioned resulting in objectives of StreetSmarts not being met	5.1 There is a program-level risk register documenting the lessons learnt and there is a risk management plan to manage potential issues, such as a defined procedure-process document to respond to adverse events or public backlash	Partially effective	Issue 3			

Absence of segregation of duties which impedes checks and balances resulting in objectives of StreetSmarts not being met.			6.1 A good segregation of duties and responsibilities which ensures checks and balances, minimizes the risk of fraudulent practices, error, and misuse of resources, thus enhancing efficiency and fostering accountability	Effective	N/A
The ongoing road safety education campaigns under StreetSmarts do not align with QPS enforcement priorities, and/or the above educational messages does not integrate with actual on-the-ground QPS law enforcement efforts.			7.1 There is a regular liaison process between TMR and QPS to ensure alignment of ongoing road safety education campaigns vs QPS enforcement priorities, and integration of the above educational messages with actual on-the-ground QPS law enforcement efforts.	Effective	N/A
Outcome from StreetSmarts does not align with the Queensland Road Safety Strategy 2022-31.			8.1 StreetSmarts campaign effectiveness is evaluated regularly against the Queensland Road Safety Strategy 2022-31, including its vision, targets and objectives.	Partially effective	Opportunity 4
Governance process of StreetSmarts does not comply with relevant TMR and WoG policies and procedures, including the Queensland Government Advertising and Marketing Communication Code of Conduct.			9.1 There is a documented process for reviewing compliance status with relevant TMR and WoG policies and procedures, including the Queensland Government Advertising and Marketing Communication Code of Conduct.	Partially effective	Issue 2

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Appendix D: TMR Information Assets: Identifying the value profile

Purpose: The below matrix will enable TMR Information Asset Custodians and staff to assess and identify the value of TMR information assets.

	Security Classification Content and importance of information.	Discoverability Information is identifiable and can be easily located.	Accessibility Information is retrievable and available to the right people at the right time.	Integrity Information is accurate, complete and cannot be altered.	Retention and Disposal Authorised preservation and/or destruction.
HIGH	PROTECTED Information that requires the most careful safeguards due to its sensitivity or major business impact to the State, the Government, commercial entities or members of the public if compromised or lost.	CRITICAL Directly delivers on legislative responsibilities, priorities or TMR strategies.	IMMEDIATE Information would be required without any delay. Delays could cause severe impact to service delivery.	COMPULSORY The accuracy and integrity of information is non-negotiable! Evidence is required to validate the authenticity of the information.	SIGNIFICANT 16 years to Permanent retention. Identified as a permanent record of the State of Queensland (requiring custody transfer arrangements) or needs to be preserved temporarily beyond TMR's active needs.
	SENSITIVE Information requires additional handling care due to its sensitivity or business impact if compromised or lost. For example, compromise could affect commercial interests, legal professional privilege, law enforcement operations, personal information and/or TMR's capacity to make decisions or maintain the public's confidence in the government.	REQUIRED The time and effort to reproduce or recreate the information would be significant to TMR.	DELAYED This information is regularly accessed and delay in retrieval could have impact on timely decision making.	AUDITABLE, AUTHENTIC The evolution of the information should be required to provide justification of a decision. The accurate details of the information development can be substantiated, such as multiple approvals.	INTERMEDIATE 8 to 15 years preservation. Should be retained as a public record post TMR's active administrative or operational needs prior to acquiring delegated authorisation to dispose.
LOW	OFFICIAL Routine information without special sensitivity or handling requirements that would pose minimal business impact if compromised or lost.	AVAILABLE Can be easily recreated or reproduced, for example from a system.	LENGTHY DELAY Inability to access may have little to no disruption or adverse effect on service delivery.	TOLERABLE Transactional information (or draft concepts) that may be reproduced. Inability to authenticate may have little to no disruption or effect.	SHORT-TERM 7 years and less requirement to retain.

Result: The highest level selected across any of the five columns becomes the value profile for the TMR information asset.

Source: "Inside TMR Information Management" webpage (<https://intranet.tmr.qld.gov.au/sites/SRU/Pages/Determining-the-value-of-a-record.aspx>)

Appendix E: Supplementary information provided by management for Opportunity 4

Mass media campaigns are used globally as a means of promoting road safety issues. The premise of utilising this strategy is that targeting the population as a whole, or particular cohorts with known behaviours, can potentially alter the knowledge or attitudes of the population and provide social support for behaviour change (Redman, Spencer, Sanson-Fisher, 1990).

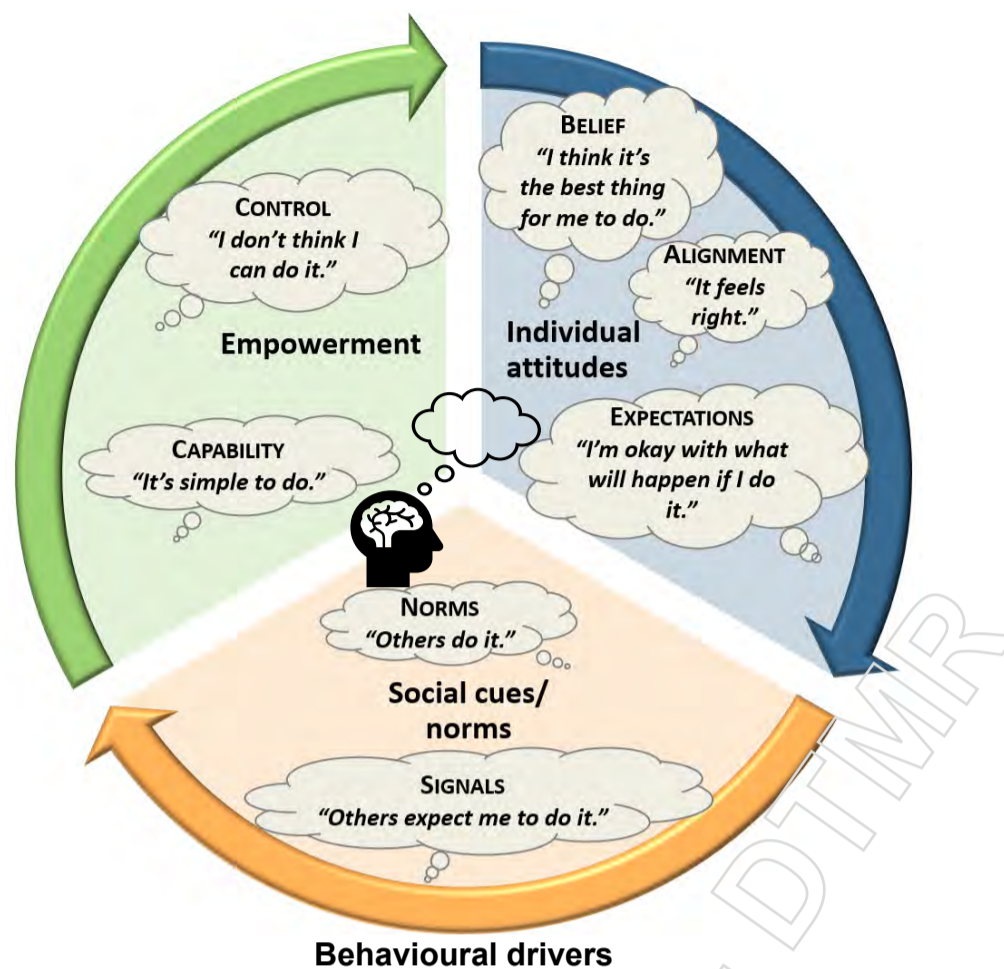
The road system is a high-risk complex socio-technical system and the conceptual framework used in Australia to manage safety in this system is called Safe Systems (Cattermole-Terzic, Horberry & Hassall, 2016). Through Safe Systems it is apparent that improvements to road safety require a multi-layered approach, and this has been demonstrated in evaluations across the entire landscape of road safety research. When determining the value of campaigns in road safety, therefore, it is important to understand where it fits within the Safe Systems approach and its' purpose (Wundersitz & Hutchinson, 2011).

It is a well-researched fact that road crash statistics are a poor measure for media campaign success (Baily & Wundersitz, 2019; Wundersitz & Hutchinson, 2011). However, the aim of campaigns is to shift societal attitudes and increase knowledge and there is evidence that campaigns can achieve this – for example, Australia's shift in attitudes to drink driving over the past 30 years (Redman, Spencer, Sanson-Fisher, 1990; Baily & Wundersitz, 2019).

Best practice principles for effective campaign design include:

- Strategically develop the campaign. Clearly define the campaign objectives and select appropriate variables that can measure whether these objectives were achieved (Delhomme, Dobbeleer, Forward, & Simoes 2009)
 - Use systematic data driven processes to identify the target behaviour and the target audience (Noar, 2006)
 - Segment the target audience then tailor the message to the motivation and the needs of these sub-groups. There is increasing evidence that one style of message may work for one audience but not another (Atkin, 2001; Ulleberg, 2001)
 - Use psychological theory as a conceptual base for the campaign; theoretically guided campaigns have a greater chance of success (Woolley, 2001; Noar, 2006; Delhomme, Dobbeleer, Forward, Simoes, 2009)
 - Integrate mass media with other activities such as enforcement legislation and education (Elliot, 1993; Woolley, 2001; Delhomme, Dobbeleer, Forward & Simoes, 2009)
 - Messages might be communicated more effectively when the mode of communication matches campaign goals and the target group preferences (Stretcher, Bauemeister, Shope, Chang, Newport-Berra, & Giroux, 2006, Noar, 2006)
 - Different types of media should be combined to reach as many of the target group (Dijkstra, Buijtel, van Raaij, 2005)
- (Principles taken from Wundersitz & Hutchinson, 2011).

Appendix F: The behavioural drivers model



Derived from materials published by Gartner Inc.

Drivers of stakeholder behaviour

Dimension	Driver and effect	What you might hear when listening	Behavioural root cause and some questions to ask
Individual attitudes			
Belief	"I think it's the best thing for me to do." Beliefs that result in actions inconsistent with desired behaviours.	That is not what I should be doing. I do not think that is important. I am not comfortable doing that.	<i>Lack of clarity of communicated roles and responsibilities</i> Is there adequate clarity of rules, procedures, and responsibilities?
	"It feels right." Perceptions leading to actions that are inconsistent with stakeholders' values and priorities.	I care a lot about ... I am a ... person. That is just not who I am.	<i>Lack of commitment/engagement or alignment with the organisation's goals and values</i> Do employees feel motivated and engaged? Is there ownership and accountability?
	"I'm okay with what happens if I do/ don't do it." Actions taken in ignorance of the associated consequences.	Doing that will not change anything. At worst I may receive a slight reprimand.	<i>Lack of consequences or lack of positive feedback</i> Are desired behaviours rewarded and undesirable behaviours sanctioned?
Social cues/norms			
Signals	"Others expect me to do it." Social signalling and incentives inconsistent with preferred behaviours, resulting in undesirable actions.	I would like to do that, but my manager tells me to do something else. Leadership says it is important, but we do not see them doing it. I am only paid for doing the other stuff.	<i>Poor tone at the top/ role modelling</i> Do managers and peers set a good example? Do management override controls?
	"Others do it." Cues and actions of others that incline choices towards undesirable behaviours.	That is not what I see everyone doing. That is how everybody around here does it. No one here would like it if I did that. People here would think it strange if I did not do it.	<i>Lack of openness to discuss</i> Do staff feel comfortable to voice their opinion, raise issues, and discuss dilemmas in a group setting? Are people held accountable by others in the organisation for misconduct (including not taking required actions)?
Empowerment			
Capability	"It's simple to do." Ignorance of how to properly take the required actions even when using the available guidance/ information, resulting in undesirable outcomes.	I do not know how to do that. The information I get tells me nothing about how I should do that. I do not have the skills/ resources/ time to do this.	<i>Poor transparency over actions</i> Are the applicable policies, procedures, and guidance materials sufficiently clear? Are appropriate resources and mechanisms in place to monitor noncompliance with relevant policies and their supporting procedures? Are staff adequately skilled and capable of performing the tasks required of them?
	"I don't think I can do it." Perception of insufficient autonomy to act or implement changes, resulting in undesirable outcomes.	That is not within my control. That is someone else's job. I do not see how that relates to me.	<i>Unachievable tasks and goals</i> Are staff adequately skilled and capable of performing the tasks required of them, or are the timeframes/ expected results unrealistic given the provided resources?
Control			