

## Working for Queensland Survey 2018

In September 2018, a total of 512 employees participated in the Public Sector 2018 Working for Queensland Survey. This response rate of 81% was an increase from our 2017 response rate of 76%. Similarly to previous years, the questions related to employee engagement, job empowerment and organisational leadership.

Survey results were discussed with employees through face-to-face workshops which were held during February to April 2019. In total, 28 Working for Queensland workshops were delivered by the Human Resource Services team. The workshops provided an overview of workgroup results and an opportunity to develop local action plans.

A number of key themes were identified from the action plans, which are being collated to identify initiatives that may be beneficial to apply across the Public Trustee. Work will continue throughout the next year to implement the action plans.

# Governance – risk management and accountability

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## Governance and Risk Directorate

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The components of the Public Trustee's governance framework establish the principles, relationships and processes that guide our work. We are committed to legislative compliance and ethical behaviour, and to meeting public expectations for probity, accountability and transparency.

The Governance and Risk Directorate is responsible for administering, supporting and guiding the Public Trustee's governance processes.

Governance and Risk's functions include:

- statutory reporting including annual reporting and preparing our Service Delivery Statement
- managing the risk management framework
- fraud and corruption control
- government relations
- complaints management
- right to information, information privacy, and administrative access and release
- developing, reviewing and implementing related policies and procedures.

Governance and Risk is responsible for effective implementation of and compliance with a number of legislative requirements for the Public Trustee, including the *Right to Information Act 2009*, *Information Privacy Act 2009* and *Public Interest Disclosure Act 2010*.

Some of our performance highlights in 2018–19 are detailed on the next page.

- We engaged one-on-one and through team meetings, working groups, project boards and other forums to discuss, advise and collaborate on diverse governance issues in order to enhance governance capability across the Public Trustee.
- We shared information and learnings, and demonstrated our commitment to better practice, through participation in the whole-of-Government Strategic Management Network focussed on planning, performance reporting and related topics.
- We refined the information captured in the Complaints Management System to ensure it enables the Public Trustee to identify improvements that can be made to the organisation, its services and the way they are delivered. In 2018–19, there were 539 complaints recorded indicating a continued downwards trend from 654 complaints in 2016–17 and 610 in 2017–18.
- We worked closely with our colleagues in Client Experience and Delivery to develop the process, and subsequent training of staff, to record frontline complaints.
- We achieved positive findings in an Office of the Information Commissioner Audit of Awareness of Privacy Obligations. The Audit examined whether selected Queensland Government agencies appropriately educated and trained their employees about their obligations under the *Information Privacy Act 2009*. The Public Trustee was one of the organisations subject to the audit. Human Resource Services provided extensive assistance in gathering information relevant to the scope of the audit. The Public Trustee provided feedback on the positive findings and the Report was tabled in Parliament on 12 February 2019.
- We confirmed our commitment to improving access to information for the community and a better understanding of privacy rights and responsibilities, as part of a coordinated training and communications program throughout the year. For example, we raised awareness of:
  - the importance of valuing personal information during Privacy Awareness Week with activities, promotions and by engaging in team meetings across various program areas of the Public Trustee
  - every individual’s right to access government-held information, if it is in the public interest to do so, through activities celebrating Right to Information Day 2018 with a focus on ‘Trust and Transparency’.

# Making a positive difference in the lives of Queenslanders

Governance and Risk has identified a recent trend developing with requests for access to archival material of the Public Trustee. The Department of Aboriginal and Torres Strait Islander Partnerships (DATSIP) is reviewing deceased estates of Aboriginal people whose financial affairs were controlled under the *Aboriginals Preservation and Protection Act 1939* where their estate was not distributed, but instead was transferred to the Aborigines Welfare Fund. This project is part of a Queensland Government commitment.

Established in 1943 for the general benefit of Aboriginal people under the provisions of the *Aboriginals Preservation and Protection Act 1939*, the Aborigines Welfare Fund comprised income from a range of sources including child endowment benefits paid for children in mission dormitories, unclaimed estates of deceased or missing Aboriginal people, compulsory deductions from Aboriginal people's wages, and income earned from grazing and agricultural enterprises. The Queensland Government Response to the Stolen Wages Reparations Taskforce Report (Reconciling Past Injustice) identified that the Queensland Government would ensure that reassessment of the deceased estates and relevant distribution of funds would be progressed as a matter of priority.

Another active initiative is by the DATSIP Home Ownership Team, which is seeking information from the Public Trustee to assist in identifying beneficiaries to portions of estates in accordance with section 60 of the *Aboriginal and Torres Strait Islander Communities (Justice, Land and other Matters) Act 1984* with regards to perpetual lease entitlement under the *Aboriginal and Torres Strait Islanders (Land Holding) Act 1985*.

Governance and Risk is managing an increasing number of requests from DATSIP for information from our records relating to the estates of individuals of Aboriginal background, to assist with their research. Some matters have required recalling the record from the Queensland State Archives and preparing detailed responses to DATSIP. The Public Trustee anticipates receiving more requests in the coming months as the project progresses.

The team has also managed a diverse range of privacy and information access matters during the 2018–19 year, including:

- undertaking a Privacy Impact Assessment for geographical mapping by the Queensland Government Statistician's Office on behalf of the Public Trustee
- managing the release of documents to new administrators, executors or former clients, with over 20,000 documents released relating to 16 clients in 2018 – an example of the voluminous work that is often involved in responding to requests for information through administrative release processes

- assisting a local council with access to documents relating to the functions of the Office of Insolvency and historical ownership of a property transferred by 'Transmission by Insolvency' to the Public Curator of Queensland. The parcel of land concerned contains a prominent land feature in the local landscape that was named and gazetted by the Queensland Government. The current landowner applied for approval to operate a quarry from the land; the application was refused and is now subject to appeal. The documents were poorly preserved and extremely fragile, making inspection and research a painstaking and delicate task. After careful consideration, the Public Trustee's Privacy Officer was able to assist the council by providing copies of certain documents relating to the land and the original landowner, after whom the prominent land feature was named. The council was very appreciative and it is hopeful this prominent land feature can be preserved.

## Risk management

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Risk management at the Public Trustee is governed by our Risk Management Framework, a core component of our overall corporate governance. Aligned to the *AS/NZS ISO 31000:2009 Risk Management Standard* and designed for our specific business and organisational environment, the framework encompasses policies, procedures, systems and strategies that effectively manage our risks through regular engagement and consultation.

In line with its purpose to support the CEO, the ELT is committed to promoting a risk management culture and to organisational risk management principles. Risks are identified and monitored on an ongoing basis to ensure they adequately reflect the current operating environment and are brought to the attention of ELT where required. Significant risks at organisation and program area levels are regularly reviewed and reported to the ELT and Audit and Risk Management Committee.

In 2018–19, Governance and Risk progressed a body of work aimed at increasing risk maturity and strengthening the Framework foundations including:

- developing a Risk Appetite Statement to establish baseline risk levels the Public Trustee is willing to accept in pursuing its strategic and operational objectives. This Statement enables a consistent approach across programs in understanding and managing risks in day-to-day operations, particularly in decision-making
- conducting risk workshops with management teams to identify and assess significant risks across the Public Trustee. Individual program registers, and the Material Business and Strategic Risk Register, are reviewed by risk owners as part of regular management meetings to enable informed decision-making
- continually enhancing the Risk Management Framework for consistency of risk assessment, monitoring and reporting in line with the *ISO 31000:2018-2 Risk Management – Guidelines* and other applicable standards
- improving risk metrics defining the consequence and likelihood levels, in consultation with relevant stakeholders

- providing advice and guidance on risk ownership, escalation, treatment, review and reporting to program areas across the Public Trustee.

## External scrutiny

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The Public Trustee is subject to external scrutiny by entities including the:

- Auditor-General, Queensland Audit Office
- Queensland Ombudsman
- Crime and Corruption Commission
- Office of the Information Commissioner
- Queensland Parliament's Legal Affairs and Community Safety Committee.

## Internal audit

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Internal Audit provides independent, objective assurance and consulting to improve the operational performance of the Public Trustee.

The unit's role is defined in its Charter, approved by The Public Trustee of Queensland and endorsed by the Audit and Risk Management Committee.

The charter has regard to the *Financial and Performance Management Standard 2009* and the Institute of Internal Auditors' *International Standards for the Professional Practice of Internal Auditing*.

Internal Audit is autonomous and reports directly to The Public Trustee of Queensland, with oversight by the Audit and Risk Management Committee. Internal Audit has due regard to Queensland Treasury's *Audit Committee Guidelines: Improving Accountability and Performance*. Strong links with the Queensland Audit Office provide the foundation for a collaborative audit approach to ensure optimal audit coverage across all areas of the organisation, including financial and compliance audits, operational and efficiency audits, information system audits, and investigations.

The current Head of Internal Audit holds a Bachelor of Commerce (Hons). He is a Certified Internal Auditor, Financial Services Auditor, and Information Systems Auditor and is also certified in Control Self-Assessment.

The *Strategic and Annual Internal Audit Plan* is developed in consultation with key stakeholders and takes into account the significant risks identified by management through the Public Trustee's Risk Management Framework.

In 2018–19, Internal Audit conducted independent reviews and audits of our internal controls, business processes and management practices. Key achievements included:

- establishing a control assurance framework within the organisation
- reviewing Client Experience and Delivery and corporate operations to provide the Executive Director, Investment and Finance Services and CFO with assurances to support sound processes and procedures underpinning the financial statements
- providing information papers to raise awareness of current issues being encountered and to enhance understanding and address topical issues

- ongoing development of the Data Analytics Program which provides continued assurance with respect to the functions of key controls.

## Information systems and recordkeeping

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The Public Trustee is committed to meeting its responsibilities under the *Public Records Act 2002* and other relevant legislation, Queensland State Archives policies and best practice methods. We continue to explore and implement ways of enhancing our efficiency and agility in providing services to Queenslanders, and demonstrate our commitment to quality information and records management that reduces the reliance on paper records through automation and digitisation.

In 2018–19, we demonstrated our commitment to compliant recordkeeping practices by:

- completing our enterprise Information Asset Register
- finalising a draft Digitisation and Disposal Policy including destruction procedures in line with Queensland State Archives requirements
- reviewing and updating mail processes in preparation for digitisation
- continuing mandatory online recordkeeping training for all employees and contractors
- revising the role and readiness of our electronic Document and Records Management System (eDRMS) to ensure reliability, performance and security of electronic records ahead of records and mail service digitisation
- reviewing and updating the Business Classification Scheme within our eDRMS
- disposing of public records in accordance with the Public Trust Office Retention and Disposal Schedule (QDAN 651 v.1) and the Queensland Government General Retention and Disposal Schedule
- commencing a review and gap analysis of the Public Trust Office Retention and Disposal Schedule.