

B. Audit objectives and methods

This audit has been performed in accordance with the Standards on Assurance Engagements ASAE 3500 Performance Engagements, issued by the Auditing and Assurance Standards Board. This standard establishes mandatory requirements and provides explanatory guidance for undertaking and reporting on performance engagements.

The conclusions in our report provide reasonable assurance that the objectives of our audit have been achieved. Our objectives and criteria are set out below.

Audit objective and scope

We looked at how well Queensland's guardianship and administration system manages complaints to improve the protection of people with impaired decision-making capacity.

We did this by assessing whether the Public Trustee (PTQ):

- has effective systems and processes to receive, manage and review complaints
- responds to complaints within expected time frames
- reviews the effectiveness of its complaint management system and process to make improvements

| Sub-objective | Audit criteria |
|---|---|
| <p>1 PTQ has effective systems and processes to capture, manage and review complaints and investigations.</p> | 1.1 The complaints management process is clear and accessible to the public. |
| | 1.2 PTQ has sound processes and practices to manage complaints and investigations. |
| | 1.3 PTQ reviews the effectiveness of its complaint management process to improve the accessibility and management of its complaints management systems. |
| | 1.4 PTQ provides staff with adequate resources to support their work. |
| <p>2 PTQ responds to complaints on time, and improves its services to all its customers.</p> | 2.1 PTQ responds to complaints and investigations within expected time frames |
| | 2.2 PTQ monitors progress of cases and takes appropriate actions to follow up on old cases. |
| | 2.3 PTQ analyses its complaints to inform continuous improvement of its services to people with impaired decision-making capacity. |

Source: Queensland Audit Office.

Entities subject to this audit

The audit included the following offices that provide guardianship and administration services and can be appointed to make decisions about personal and financial matters for people with impaired decision-making capacity:

- The Public Trustee of Queensland—Part 1 report
- The Office of the Public Guardian—Part 2 report.



Time periods covered by the audit

PTQ implemented its Complaint management IT system (CMS) in January 2017. Therefore, CMS data was only available from 1 January 2017. In our analysis, we reported on the calendar year instead of financial year, to allow for a full three-year comparison (see Figure 5A).

When analysing response time, we used data from 1 January 2017 to 30 June 2020 (see Figure 4A).

Scope exclusions

The audit did not examine the effectiveness of the:

- complaints managed by other entities that receive complaints from the Public Trustee and the Public Guardian
- complaints and investigations relating to children under the care of Queensland's guardianship and administration system
- Queensland Civil and Administrative Tribunal, who appoints guardians and administrators as substitute decision-makers but does not manage complaints made against those agencies
- Public Advocate, who undertakes systems advocacy to protect and promote the rights, autonomy and participation of people with impaired decision-making capacity but is not authorised to action complaints about another agency, organisation or service provider.

In analysing PTQ's complaints data we excluded complaints received about will making and deceased estate management. Our analysis only included financial administration complaints.

