



<b>POL 0065</b>	<b>Compliments And Complaints Management Policy</b>
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<b>Responsibilities and Delegations</b>	
The Policy Applies To	Committee of Management Support Workers Program Managers, Program Developer, Assistant Program Manager Senior Management Executive Director
Specific Responsibilities	Support Workers Program Managers, Program Developer, Assistant Program Manager Senior Management Executive Director
Policy Approval	Committee of Management (Aurora Support Services)

<b>Policy Context – this policy relates to :</b>	
Standards	NDIS Practice Standards Core Module 2, Provider Governance and Operation Management - Feedback and Complaints Management
Legislation	National Disability Insurance Scheme Act 2013 NDIS Code of Conduct NDIS Practice Standards National Disability Services Zero Tolerance Framework and Positive Behaviour Support Principles NDIS Quality and Safeguards Commission Australian Human Rights Commission Act 1986
Contractual Obligations	NDIS Terms of Business Aurora Support Services Individual Participant Agreements Continuity of Support Program Funding Agreement Department of Environment, Land, Water and Planning
Organisational Related Policies / Procedures	<ul style="list-style-type: none"> <li>• Decision Making and Choice Policy</li> <li>• Performance Management Policy</li> <li>• Participation and Inclusion Policy</li> <li>• Communication Policy</li> <li>• Compliments and Complaints (Easy English) Policy</li> <li>• Internal Workplace Investigation Procedure</li> </ul>
Organisational Related Forms / Documents	<ul style="list-style-type: none"> <li>• Compliments and Complaints Management Register</li> <li>• NDIS How to Make a Complaint (in brochure stand)</li> <li>• Participant Information Pack</li> <li>• Staff Information Pack</li> </ul>



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### 1. Purpose and Scope

The purpose of this policy is to establish methods and mechanisms that allow stakeholders of the organisation (participants, staff, families, carers and members of the public) to provide feedback including compliments and complaints.

This policy applies to all Aurora Support Services programs and activities.

### 2. Policy Statement

The compliments and complaints management system and resolution process is part of a quality culture where compliments and complaints are an opportunity for improvement via:

- Positive attitudes towards dealing with feedback, compliments and complaints and respect for the person who has raised the matter
- Values that reinforce the commitment of the organisation to quality service delivery and encouragement for provision of feedback on what is and what isn't working
- A clear statement that no-one will be adversely affected as a result of making a complaint or a complaint being made on their behalf
- A policy that enables the compliment and complaint management system to address and investigate issues relating to all employees, including senior management
- Data analysis to identify and explore trends that highlight opportunities to improve service delivery and complaint handling
- A commitment to continued training and development of the capabilities of compliment and complaint management staff
- A commitment by the organisation's leadership team to an effective compliments and complaints management process as part of a robust quality improvement framework

Aurora Support Services seeks to foster communication and co-operation between all stakeholders of the organisation who are free to provide all forms of feedback including compliments and complaints and have complaints dealt with promptly, fairly and non-threateningly. Treatment of compliments and complaints will be fair to both the complainant and respondent and will be responded to respectfully and will be given high priority for resolution and remediation.

### 3. Procedure

The following procedures are to be implemented to ensure Aurora Support Services meets its policy objective of ensuring all stakeholders of the organisation are free to provide feedback including compliments and complaints and have any compliments or complaints about the organisation, its consumers, its staff or its operations, resolved in a timely manner.

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<b>Document Code</b>	POL 0065	<b>Last Reviewed</b>	24 March 2021	<b>Review Date</b>	



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These procedures should be read in conjunction with the **Complaint Resolution Principles** and the **Complaint Resolution Procedure Flowchart** (Appendix 1 and Appendix 2).

**\*Aurora Support Services encourages an informal approach in the first instance, to resolving differences. All parties should familiarise themselves with the Resolving Conflict Guidelines (Appendix 3) and embrace a Solution Focused Approach to complaint resolution practices (Appendix 4).**

In the event that informal measures are unsuccessful, a formal approach to lodging a complaint may be necessary.

- 3.1 Inform a Manager in writing about your complaint using the **Lodgement of Complaint Form** (Appendix 5). A letter of “Acknowledgement of Lodgement of a Complaint” will be forwarded to you by the Manager or their representative.
- 3.2 A copy of your complaint will be provided to the person you have complained about. They will then be interviewed by their Manager and will have an opportunity to respond in writing using the **Response to Complaint** (Appendix 6). They may wish to bring a support person with them to the interview.
- 3.3 It may be necessary to interview witnesses and / or carry out further investigation as required.
- 3.4 Management will decide after having received written reports from both the complainant and the respondent, the most appropriate course of action using the **Complaint Outcome / Action Plan** (Appendix 7). Management will then follow the course of action as defined in the Outcome Action Plan, recording the date and actions undertaken. A Manager will be assigned the role of Complaint Case Manager who will ensure the Complaint outcome / Action Plan is progressed and will sign off the plan where the complaint is resolved.
- 3.5 In the event that the complaint is dealt with at a local level i.e. does not result in a full internal investigation (as below), the process will be deemed to be completed and all documentation relating to the complaint will remain in a locked area in the Executive Director’s office. Letters of “Finalisation of Complaint” will be forwarded to both the complainant and respondent re matter resolved to each party’s satisfaction.
- 3.6 If Management deem the complaint of such severity as to require a full internal investigation (i.e. serious allegation of sexual misconduct / bullying / assault / theft etc.). In this situation Management will utilise the **Internal Workplace Investigation Procedure** document [Z:\Senior Managers\Quality Management\QUALITY CONTROLLED ORIGINAL DOCUMENTS TEMPLATES\Policies\Compliments and Complaints Management \(Qual Cont\).docx](Z:\Senior Managers\Quality Management\QUALITY CONTROLLED ORIGINAL DOCUMENTS TEMPLATES\Policies\Compliments and Complaints Management (Qual Cont).docx)
- 3.7 In the event of either a Compliment or a Complaint, the Executive Director will record details in the Compliments and Complaints Register.

**Review and Quality Improvement**

The Executive Director is responsible for reviewing and updating this policy on a two yearly basis. However, if at any time the legislative, policy or funding environment is so altered that the policy is no longer appropriate in its current form, the policy will be reviewed immediately and amended accordingly.

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# Complaint Resolution Principles

## 1. What is a Complaint?

A complaint can be any matter, problem or complaint related to work or the work environment which causes concern or distress and is believed by the person raising the complaint to affect their work or progress and requires some sort of resolution. A complaint may arise from any decision, act or omission which is perceived as wrong, unjust or discriminatory.

Aurora Support Services will treat all complaints seriously and has formal and informal procedures for resolving them.

## 2. Informal and Formal Approaches:

There are five aspects of dealing with a complaint, which can be applied in a formal or informal approach to resolution:

- Approach** - the other party
- Report** – or – speak to the line manager
- Contain** – do not involve other people
- Review** – the complaint
- Resolve** – and move on

**Informal** – It is important that you let the person you believe is causing you concern know that you do not like the behaviour and that you want it to stop. Sometimes people do not realise that certain conduct is not appreciated. Discussion at this point may resolve any misunderstandings and prevent the situation from becoming worse.

If an incident or conduct occurs that you find unacceptable:

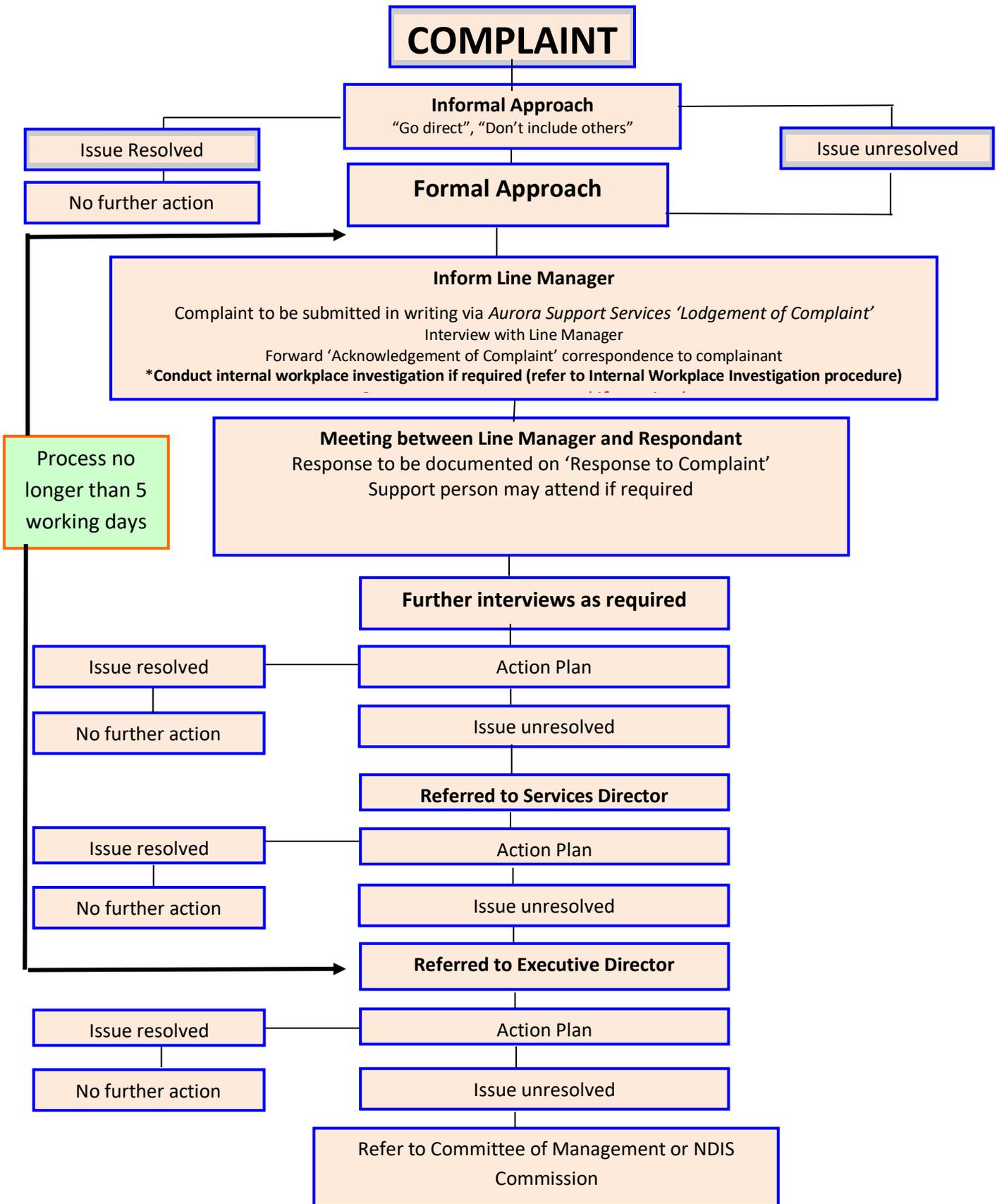
- (a) Tell the person that you don't like their behaviour and that you want it to stop.
- (b) If you feel you cannot tell the person directly or the unwelcome behaviour continues, speak to your Line Manager so that options for resolving the situation can be discussed with the aim of coming to a decision that is mutually agreeable to all parties.
- (c) Don't include others – only people directly involved in the issue should have access to information relating to it.

**Formal** – If you experience unwelcome behaviour at work that offends, humiliates or intimidates you, you may wish to lodge a formal complaint. This complaint will be handled **confidentially, impartially and as quickly as possible** and your employment will not be at risk by filing a complaint.

## 3. The following general principles will be adhered to by all parties involved in a complaint:

- **Confidentiality** – Details of any complaint should be known only to those directly involved in it, or its resolution
- **Impartiality and fairness** – All parties must be provided with an opportunity to tell their side of the story and no action will be taken (or assumptions made) until all relevant information has been considered
- **Freedom from unfair repercussions or victimisation** – No action will be taken against someone who raises a complaint. If any person feels that they are being victimised for raising a complaint they should report this immediately to management
- **Sensitivity** – All parties involved should demonstrate sensitivity and respect to issues such as race, gender, health, sexuality and religion etc.
- **Speed** – All matters will be dealt with without delay or avoidance and no more than 5 working day will lapse between a formal complaint being lodged and the matter being referred to the Services Director and Executive Director

**COMPLAINT RESOLUTION PROCEDURE FLOWCHART**



**\*Any decisions/resolutions made at any stage of this process, should be communicated in writing to all parties using appropriate proformas**

Appendix 3

AURORA SUPPORT SERVICES

## Resolving Conflict:

1. Go Direct
2. Go to Management
3. Don't involve Others



May 2017

Appendix 4

**AURORA SUPPORT SERVICES**



**If you are not prepared to be part of the solution, then you forfeit your right to complain!**

August 2016





Appendix 7

# COMPLAINT OUTCOME / ACTION PLAN

- No action required
- Mediation between parties
- Addressed via Performance Management Policy
- Referred to external counselling – may apply to one or both parties

Actions Implemented:

Date	Action	Signature of Manager

Continued over page

Complaint resolved:

Yes

No

Signature of Line Manager: .....

