

SUBJECT:	COMMENDATIONS AND COMPLAINTS		
Functional Area	Executive	Document Ref:	OP EXE01-02(15)
Applicable From:		Revisions No:	v3 d1
Policy Statement:	PS EXE01(14)	Review Date	2017

REVISION SCHEDULE:

Effective Date	Authorised By:	Alterations
20/02/2012	Judy Curran	Document created
05/11/2014	Judy Curran	Document re-formatted as per Quality System template; Updated reference to other Quality documents; Included <i>Health and Community Services Complaints Commissioner</i> among External Agencies
	Judy Curran	Added reference to the CDG Critical Client Incident Management Guidelines in line with DCSI requirements.

1. Scope

This procedure describes the way in which commendations or positive feedback and complaints are managed at **Can:Do Group**.

2. Managing Commendations:

2.1. General

Can:Do Group encourages feedback from all its stakeholders (clients, families/carers, staff and others), and when commendations are received within Can:Do Group the following procedures will apply:

PHASE	PROCEDURE	RESP	FORM / RECORD
1. Receipt & Recording	<p>When a commendation is received on the <i>EXE01.1 Commendations and Complaints Form</i> the receiving staff member will forward it within 1 working day to the Executive Assistant who will ensure that details of the commendation are recorded in the R <i>EXE01.1 Commendations and Complaints Register</i>. After that, the EA must forward it to relevant Senior Manager within 1 to 3 working day of its receipt.</p> <p>When a commendation is received by letter, e-mail, phone call or verbally in person, the receiving staff member will complete a <i>EXE01.1 Commendations</i></p>	Executive Assistant Senior Manager	EXE01.1 Commendations & Complaints Form R EXE01.1 Commendations and Complaints Register

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		<i>and Complaints Form</i> and forward it within 1 working day to the EA who will record the commendation in the R <i>EXE01.1 Commendations and Complaints Register</i> within 1 to 3 working day of its receipt and forward it to the relevant Senior Manager;		
2.	Distribution	The Senior Manager will, within 1 working day of receipt of a commendation, advise the relevant line manager that the commendation has been lodged.	Senior Manager	
	Communication – Acknowledgement	The relevant Manager will ensure that the commendation is acknowledged within 5 working days of receipt (in writing by letter or email) and that the comments will be dealt with in accordance with these procedures. Where the person does not provide details that allows Can:Do Group to contact him/ her, there is no need of acknowledgement.	Relevant Manager	Commendation Acknowledgement pro forma letter
3.	Communication – Forwarding & Recognition	The relevant Manager will pass on details of the commendation to: <ul style="list-style-type: none"> • staff responsible for the action giving rise to the commendation; • other senior staff and the Chief Executive who may advise the Boards where appropriate; • other staff; • the wider Can:Do Group community; as appropriate, giving consideration to the nature of the commendation. Mechanisms used to communicate details of the commendation may include: <ul style="list-style-type: none"> • face to face meeting(s) • memo, letter or email • inclusion in newsletters or on the Can:Do Group website. 	Relevant Manager	
4.	Recording & Document	The relevant Manager will record details of communication actions on the <i>EXE01.1 Commendations and Complaints Form</i> which, together with	Relevant Manager	EXE01.1 Commendations & Complaints Form

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	Retention	the original copy of the commendation, will be retained by the EA.		
5.	Personnel Files	Where appropriate, a copy of the commendation may be included in the personnel file(s) of staff responsible for the action giving rise to the commendation.	General Manager, Group Corporate Services	Personnel File
6.	Review	The Chief Executive will, at least annually, report to the Boards on commendations received by the organisation.	Chief Executive	

3. Managing Complaints:

Complaints management begin with the lodgement and acknowledgement of a complaint, and are finalised at the conclusion of the review process following the resolution of the complaint.

3.1. General

Can:Do Group values feedback, whether positive or negative. All Can:Do Group stakeholders can make a complaint about an action, inaction or state of affairs within the organisation (at no cost to the person making the complaint). All complaints:

- will be acknowledged;
- will be treated seriously;
- will be managed in a way that respects the need for confidentiality, and complies with legislated and contractual requirements;
- will be seen as an opportunity to make ongoing improvements to the way in which Can:Do Group operates;
- will result in feedback to the person making the complaint about how the complaint is being managed and the outcome of the complaint.

Whenever needed and possible, interpreters will be provided to stakeholders, particularly clients of Can:Do Group, to ensure that a complaint can be made in a way that ensures that it can be dealt with in line with these procedures.

3.2. Client Complaints

Any client (or family member, carer or other person acting on behalf of a client) who has a grievance or a concern related to service delivery is encouraged to give feedback using the procedures detailed below.

3.2.1. Assistance with Making a Complaint

Where a client (or family member, carer or other person acting on behalf of a client) has difficulty in making a complaint, the following assistance may be provided where appropriate through:

- explanation of the complaint management process;
- assistance with detailing the complaint (either verbally or in writing) and where the complaint is made verbally, reading back the documented complaint as

recorded on the *EXE01.1 Commendations and Complaint Form* on behalf of the client;

- referral to external agencies detailed below.

3.2.2. Informal Resolution

Clients (or family member, or other person acting on behalf of a client) are encouraged to raise a concern or complaint informally with the relevant Staff member at the earliest opportunity to try to resolve the problem.

If the issue is resolved to the satisfaction of those involved, the matter is forwarded to the Executive Assistant who will record it in the *R EXE01.1 Commendations and Complaints Register*, and is considered to be finalised.

3.2.3. Lodgement of Formal Client Complaints

If a client (or family member, carer or other person acting on behalf of a client) is not satisfied with the outcome of an informal complaint, they can make a formal complaint to the relevant Staff member or the Executive General Manager Client Services by either:

- making a formal verbal complaint in person or by phone;
- completing and lodging a *EXE01.1 Commendations and Complaints Form*;
- sending an email detailing the complaint; or
- writing a letter with details of the complaint.

All formal complaints received by Can:Do Group will be acknowledged in writing or by email within 2 working days, except in those cases where the complainant doesn't provide details about himself/ herself therefore not allowing Can:Do Group to contact him/ her.

3.2.4. Management of Formal Client Complaints within Can:Do Group

The following procedures will be followed when a formal client complaint is received:

PHASE	PROCEDURE	RESP	FORM/ RECORD
1. Receipt & Recording	When a complaint is received on the <i>EXE01.1 Commendations and Complaints Form</i> it will be forwarded within 1 working day by the Can:Do Group staff member receiving the complaint to the Executive Assistant. The EA will then ensure that the full details of the complaint are recorded in the <i>R EXE01.1 Complaint Register</i> (within 1 working day). A specific <i>EXE02.1 Complaint Management Form</i> is opened to record all processes	Receiving Staff Executive Assistant Senior Manager	EXE01.1 Commendations & Complaints Form R EXE01.1 Commendation and Complaints Register EXE02.1 Complaint Management Form

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PHASE	PROCEDURE	RESP	FORM/ RECORD
	<p>associated with dealing with the complaint. All documents to be forwarded to the relevant Senior Manager.</p> <p>When a complaint is received by letter, e-mail, phone call or verbally in person, the person receiving the complaint will complete a <i>EXE01.1 Commendations and Complaints Form</i> on behalf of the complainant and forward it within 1 working day to the Executive Assistant for recording as above. All documents to be forwarded to the relevant Senior Manager.</p> <p>In each case, the person receiving the complaint will read the contents of the form back to that person to ensure that the complaint has been accurately documented.</p>		
2.	<p>Communication – Acknowledgement</p> <p>The Senior Manager will ensure that the person making the complaint is advised within 2 working days of receipt (in writing by letter or email) that the complaint has been received and that it will be dealt with in accordance with these procedures.</p> <p>If the complainant does not provide details that allows Can:Do Group to contact him/ her, there is no need of acknowledgement.</p>	Senior Manager	Complaint Acknowledgement pro forma letter
3.	<p>Assignment</p> <p>The Senior Manager will allocate responsibility for management of the complaint to the relevant Manager. The relevant Manager will be responsible for the management of the complaint, and the documentation in the <i>EXE02.1 Complaints Management Form</i> of the processes undertaken in managing the complaint.</p>	Relevant Manager	R EXE01.1 Complaints Register EXE02.1 Complaint Management Form
4.	<p>Initial Assessment</p> <p>The relevant Manager will make an initial assessment of the complaint if immediate resolution is possible [if yes, then the issue is resolved, and Phase 7</p>	Relevant Manager	EXE02.1 Complaint Management Form

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PHASE	PROCEDURE	RESP	FORM/ RECORD
	is undertaken; or if no, then Phase 5. Investigation commences.]		
5. Investigation	If immediate resolution is not possible, the relevant Manager will investigate the matter further to identify the root cause and potential corrective actions.	Relevant Manager	EXE02.1 Complaint Management Form
6. Resolution	The relevant Manager in conjunction with his/ her supervising manager will negotiate the resolution of the complaint with the person making the complaint, identifying: <ul style="list-style-type: none"> • corrective actions to be implemented • timeframes for implementation In case the complainant is dissatisfied with corrective actions proposed, the Senior Manager will then escalate the issue to the Chief Executive who will contact the complainant and decide about: <ul style="list-style-type: none"> • corrective actions to be implemented • a person to conduct the next steps of this Procedure 	Relevant Manager Senior Manger Chief Executive	EXE02.1 Complaint Management Form
7. Corrective Action	The relevant Manager in conjunction with his/ her supervising manager will allocate responsibility for implementing corrective action(s) and will ensure these action(s) are implemented within agreed timeframes.	Relevant Manager and their supervising manager	EXE02.1 Complaint Management Form
8. Communication – Follow-up	The relevant Manager will communicate with the person making the complaint: <ul style="list-style-type: none"> • to advise of the status of the complaint within 14 days of receipt if the complaint is not resolved by that time; • not less than every 3 weeks thereafter if the process is prolonged; • when the complaint is resolved. 	Relevant Manager	Complaint Status Update pro forma letter. Complaint Resolution pro forma letter
9. Recording & Document	During, and at the conclusion of the complaint management process, the	Relevant Manager	EXE02.1 Complaint Management Form

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PHASE	PROCEDURE	RESP	FORM/ RECORD
Retention	<p>relevant Manager will:</p> <ul style="list-style-type: none"> record all details of the complaint and the management processes in the <i>EXE02.1 Complaint Management Form</i>; <p>When closed, the Senior Manager, will forward the <i>EXE02.1 Complaint Management Form</i> and any other relevant documentation to the Executive Assistant who will ensure that the file is retained in a secure environment such that confidentiality is maintained for a period of 5 years.</p>	Senior Manager, Executive Assistant	R EXE01.1 Commendations and Complaints Register
10. Review	<p>The Executive Assistant will undertake periodic reviews and analyses of Complaint Management Forms and Complaint Register at least annually and prepare report(s) for senior management to inform the ongoing improvement of Can:Do Group operations.</p> <p>The Chief Executive will, at least annually, report to the Board on the complaint management processes in the organisation.</p>	Executive Assistant Chief Executive	

Where a complaint is made about the actions or decisions of the Executive Assistant or members of Senior Management Team, that complaint will be forwarded to the Chief Executive who will take responsibility for all activities as outlined above.

Where a complaint is made about the actions or decisions of the Chief Executive, that complaint will be forwarded to the Chief Executive and Chairman of the Board respectively, who will take responsibility for the relevant activities as outlined above.

3.2.5. External Agencies

If a client (or family member, carer or other person acting on behalf of a client) is not satisfied with the way in which a formal complaint is handled at Can:Do Group, they can contact any of the following external agencies for assistance or to take further action:

- Health and Community Services Complaints Commissioner
- Disability Information & Resource Centre;
- MALSSA (Advocacy, Disability and Multiculturalism);
- Equal Opportunity Commission;

- Disability Complaints Service Inc;
- Disability Action Inc;
- Independent Advocacy SA Inc;
- Health Ombudsman;
- Parent Advocacy.
- Department of Education
- Department for Communities and Social Inclusion
- Human Rights Commission

The Can:Do Group has developed the *Critical Client Incident Management Guidelines* (available from Fishnet) in line with DCSI requirements. Should it be necessary, the guidelines must be adhered to in order to ensure a client's complaint is adequately dealt with.

3.3. Staff Complaints

Can:Do Group staff have the opportunity to make a complaint if they feel aggrieved or are dissatisfied with an element of their employment or if they believe that aspects of service delivery or other operations of the organisation are inappropriate.

The way in which staff complaints are managed is dependent on the nature of the complaint and *PS HC01(13) Our People Management Principles Policy* must be followed.

3.4. Other Complaints

If a stakeholder other than a client (or family member, carer or other person acting on behalf of a client) or a staff member makes a complaint about an aspect of the operation or activities of Can:Do Group, the following procedures apply:

3.4.1. Informal Resolution

Stakeholders are encouraged to raise a concern or complaint informally with the relevant staff member to try to resolve the problem.

If the issue is resolved to the satisfaction of the stakeholder, the matter is forwarded to the Executive Assistant who will record it in the Commendations and *R EXE01.1 Complaints Register*, and is considered to be finalised.

3.4.2. Lodgement of Formal Stakeholder Complaints

If a stakeholder (other than a client or family member, carer or other person acting on behalf of a client) or staff member is not satisfied with the outcome of an informal complaint, they can make a formal complaint to a member of the management team by either:

- making a formal verbal complaint in person or by phone;
- completing and lodging a Commendations and Complaints form;
- sending an email detailing the complaint;
- writing a letter with details of the complaint.

All formal complaints received by Can:Do Group will be acknowledged in writing or by email within 2 working days, except in those cases where the complainant fails to

provide details about himself/herself, therefore not allowing Can:Do Group to make contact.

3.4.3. Management of Formal Stakeholder Complaints within Can:Do Group

The following procedures will be followed when a formal stakeholder complaint is received:

PHASE	PROCEDURE	RESP	FORM / RECORD
1. Receipt & Recording	<p>When a complaint is received on the <i>EXE01.1 Commendations and Complaints Form</i> it will be forwarded within 1 working day by the Can:Do Group staff member receiving the complaint to the Executive Assistant. The EA will then ensure that the full details of the complaint are recorded in the <i>R EXE01.1 Complaint Register</i> (within 1 working day). A specific <i>EXE02.1 Complaint Management Form</i> is opened to record all processes associated with dealing with the complaint. All documents to be forwarded to the relevant Senior Manager.</p> <p>When a complaint is received by letter, e-mail, phone call or verbally in person, the person receiving the complaint will complete a <i>EXE01.1 Commendations and Complaints Form</i> on behalf of the complainant and forward it within 1 working day to the Executive Assistant for recording as above. All documents to be forwarded to the relevant Senior Manager.</p> <p>In each case, the person receiving the complaint will read the contents of the form back to that person to ensure that the complaint has been accurately documented.</p>	Executive Assistant Senior Manager	R EXE01.1 Commendation and Complaint Register EXE02.1 Complaint Management Form
2. Communication – Acknowledgement	The Senior Manager will ensure that the person making the complaint is advised within 2 working days of receipt (in writing or by email) that the	Senior Manager	Complaint Acknowledgement pro forma letter

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		<p>complaint has been received and that it will be dealt with in accordance with these procedures.</p> <p>If the complainant does not provide details that allows Can:Do Group to contact him/ her, there is no need of acknowledgement.</p>		
3.	Assignment	<p>The Senior Manager will allocate responsibility for management of the complaint to a Manager, but will retain responsibility for oversight of the complaint management process.</p> <p>The relevant Manager will be responsible for the management of the complaint, and the documentation in the <i>EXE02.1 Complaint Management Form</i> of the processes undertaken in managing the complaint.</p>	Manager, Senior Manager	R EXE01.1 Commendation and Complaint Register EXE02.1 Complaint Management Form
4.	Initial Assessment	<p>The relevant Manager will make an initial assessment of the complaint to determine:</p> <ul style="list-style-type: none"> • if immediate resolution is possible [if yes, then the issue is resolved, and Phase 7 is undertaken, or if no, then Phase 5, Investigation commences.] 	Relevant Manager	Complaint Management Form
5.	Investigation	<p>If immediate resolution is not possible, the relevant Manager will investigate the matter further to identify the root cause, and potential corrective actions.</p>	Relevant Manager	Complaint Management Form
6.	Resolution	<p>The relevant Manager in conjunction with the Senior Manager will negotiate the resolution of the complaint with the person making the complaint, identifying:</p> <ul style="list-style-type: none"> • corrective actions to be implemented • timeframes for implementation <p>In case the complainant is dissatisfied with corrective actions proposed, the Senior Manager will then escalate the issue to the Chief Executive who will contact the complainant and decide about:</p> <ul style="list-style-type: none"> • corrective actions to be implemented 	Relevant Manager, Senior Manager	Complaint Management Form

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		<ul style="list-style-type: none"> a person to conduct the next steps of this Procedure 		
7.	Corrective Action	The Senior Manager will ensure that agreed corrective action(s) are implemented within agreed timeframes.	Senior Manager	Complaint Management Form
8.	Communication – Follow-up	<p>The relevant Manager will communicate with the person making the complaint:</p> <ul style="list-style-type: none"> to advise of the status of the complaint within 14 days of receipt if the complaint is not resolved by that time; not less than every 3 weeks thereafter if the process is prolonged; when the complaint is resolved. 	Relevant Manager	Complaint Status Update pro forma letter. Complaint Resolution pro forma letter
9.	Recording & Document Retention	<p>During, and at the conclusion of the complaint management process, the relevant Manager will:</p> <ul style="list-style-type: none"> record all details of the complaint and the management processes in the <i>EXE01.1 Complaint Management Form</i>; . <p>When closed, the Senior Manager will forward the <i>EXE01.1 Complaint Management Form</i> and any other relevant documentation to the Executive Assistant who will ensure that the file is retained in a secure environment such that confidentiality is maintained for a period of 5 years.</p>	<p>Relevant Manager</p> <p>Senior Manager, Executive Assistant</p>	Complaint Management Form Complaint Register
10.	Review	The Executive Assistant will undertake periodic reviews and analyses of <i>EXE02.1 Complaint Management Form</i> and <i>R EXE01.1 Complaint Register</i> at least annually and prepare report(s) for Executive Management to inform the ongoing improvement of Can:Do Group operations. The Chief Executive will, at least annually, report to the Board on the complaint management processes in the organisation.	<p>Executive Assistant</p> <p>Chief Executive</p>	

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4. Related documents:

- PS EXE01(14) Board and Governance Policy Statement

5. Consequential documents:

- EXE01.1 Commendations and Complaints Form
- EXE02.1 Complaint Management Form
- R EXE01.1 Commendation and Complaint Register

APPROVED BY CHIEF EXECUTIVE

This Operating Procedure supersedes all other Procedures relating Commendations and Complaints other than those specified in this document and is applicable across the Can:Do Group from the date below.

Approved By	Position	Date	Signature
Judy Curran	Chief Executive		