

7.15.01b External Feedback & Complaints Management Procedure



Approval Authority	Executive Leadership Team
Policy Owner	Senior Quality and Improvement Officer
Policy Author	Senior Quality and Improvement Officer
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1. Governing Policy/Framework

This procedure supports the Quality and Risk Frameworks and outlines the processes involved in receiving and managing complaints from clients or their representatives, the public and anonymous sources, service providers, Members of Parliament and funding agencies.

2. Background and Purpose

Carers Queensland welcomes complaints, recognizing that feedback is an invaluable source of information about an individual's experience of the quality and/or cultural safety of the services and associated processes offered by Carers Queensland. This information is integral to the organisation's continuous quality improvement processes.

This procedure outlines the processes necessary:

1. to ensure complaints and feedback are handled efficiently, fairly, effectively, ethically, transparently and consistently
2. to ensure just outcomes
3. for determining the risk potential of a complaint
4. for collecting codified data to inform continuous quality improvement processes and internal and external reporting
5. to share and celebrate good news stories

3. Scope

This procedure applies to all Carers Queensland Board members, staff and volunteers involved in the delivery of information and/or services to clients and potential clients, the public, or other service providers.

4. Definitions of Terms

- a. **advocate:** chosen by the individual to provide emotional support and/or assist with the communication processes
- b. **anonymous complaint:** these allegations provide information about trends and specific issues and are assessed against the same criteria as any other complaint.
- c. **appeal/review:** is a systematic analysis of a completed investigation process, the evidence reviewed and how the outcome determined. Appeals and reviews employ the same assessment criteria as the initial complaint investigation.

- d. **client/s:** refers to those individuals of any age (carers and NDIS participants) in receipt of services from Carers Queensland.
- e. **complainant:**
- is an individual who is dissatisfied or aggrieved and lodges a formal notice of their dissatisfaction or grievance and is seeking a resolution to their complaint.
 - a complainant can be a child under 18 years of age
- f. **complaint:** an expression of dissatisfaction about a service, policy, process, public information, staff member or volunteer or the handling of a complaint where a response or resolution is explicitly or implicitly expected or legally required (AS/NZ 10002:2014).
- g. **complaints register:** confidential register capturing the complaint details, the circumstances of the complaint, response times, and the outcome/s, complaint status etc.
- h. **compliment:** a positive comment or opinion.
- i. **dispute:** an unresolved complaint escalated either within or outside of the organisation.
- j. **escalation:** refers to the process of escalating the complaint to a higher risk rating (e.g. from a Level 1 risk to a Level 2 or a Level 2 to a Level 3 risk) and referring the matter to the appropriate officer immediately.
- k. **fairness:**
- decisions are fair and seen to be fair and based on what is regarded as contemporary practice in the social care sector
 - information relevant to the complaint is kept confidential unless the law requires disclosure
 - client or their representatives can use a universal complaints commission or agency
- l. **feedback:** opinions, comments and expressions of interest or concern, made directly or indirectly, explicitly or implicitly, to or about the organisation, about our services or compliant handling where a response is not explicitly expected or legally required.
- m. **investigation:** is the process whereby the allegations or issues are tested and assessed against organisational policy and procedures, legislation and relevant external charters of rights and responsibilities.
- n. **just outcome:** the action taken to resolve a complaint should be appropriate and respond to the needs of the complainant as far as possible (e.g. an explanation; apology etc.)
- o. **natural justice:**
- the technical term for the rule against bias and the right to a fair hearing
 - requires that the individuals involved implicated in the allegation know the substance of the allegation

- all parties involved have the opportunity to provide information relevant to the complaint and their views are considered without bias or prejudice
 - all parties are informed of the final decisions and the reason/s for those decision
- p. **NDIA National Complaints Team (NCT):** an independent unit of the NDIA responsible for investigating complaints or serious allegations including fraud. The NDIA National Complaints Team advises the local LAC PITC of the investigation outcome/s at the conclusion of the process.
- q. **risk potential:** the likelihood of a harmful or negative consequence (harm or loss of life or livelihood; damage to the organisation’s reputation, loss of funding, litigation) that may result when exposed to a particular situation or environment.
- r. **unreasonable complainant behaviour:** for behaviour to be considered unreasonable, it must clearly extend beyond the norm of the situational stress relevant to the complaint issue.

5. Guiding Principles

Carers Queensland is committed to natural justice and fairness by:

- a. promoting our complaints policy and forms via the website, social media, regional newsletters and print documents
- b. ensuring the ‘how to give feedback or make a complaint’ resources are available in plain English and easy-to-read formats
- c. supporting and assisting individuals, including children, to make a complaint or give feedback
- d. arranging at no cost to the client an interpreter, translator and/or cultural facilitator to assist the individual to make a complaint, participate fully in the investigation and resolution processes
- e. arranging at no cost to the client under 18 years, a support worker to assist the young person to make a complaint and participate fully in the investigation or give feedback
- f. assuring the individual that they will not be subject to retribution of any nature - real, implied or threatened - at any stage before, during or subsequent to the complaint investigation and resolution.

6. Risk Severity and Response Times

All complaints are assessed upon receipt to identify the risk severity and likelihood.

	Complexity and/or origin of complaint	Responsible Staff			Receipt to Resolution Time
		Corporate Services	Carer Services	NDIS	
LEVEL 1 LOW RISK	No harm to client, staff or visitors. No loss of service. No or minor loss of reputation or client relationship.	Any staff member as directed by their Team Leader or line manager.			7 calendar days
LEVEL 2 MEDIUM RISK	An event that can be managed under normal circumstances. Client has suffered harm but does not require treatment, staff member has been injured and working time lost. Disruption to service, reduced efficiency. Significant financial loss. Loss of client relationship. Heightened and/or significant adverse media coverage.	Team Leader or General Manager	Regional Manager or General Manager	Regional Manager or General Manager	14 calendar days
LEVEL 3 HIGH RISK	<u>CARER, STRATEGY AND CORPORATE SERVICES ONLY</u> Reduced ability to deliver strategic outcomes. Loss of service capability. Complaint has the potential to threaten ongoing existence of the program. Major or critical financial loss. Serious breakdown of client relationship. Permanent damage to reputation. Complaints made to the Ombudsman, CEO, Board, and Member of Parliament or reported in the media.	CEO and Board	General Manager, CEO, Board	General Manager, CEO, Board	28 calendar days
LEVEL 3 HIGH RISK	<u>NDIS LAC PITC SERVICES ONLY</u> Complaints automatically referred to the NDIA National Complaints Team – include complaints made to the Ombudsman, CEO, Board, and Member of Parliament or reported in the media. Allegations of fraud. Complaints relating to complex or sensitive issues. Significant business system failures (e.g. participant file not progressed through NDIA processes in timeframe). Unresolved Level 2 complaint.	Regional Manager, General Manager and NDIA NCT			21 calendar days

7. Managing the Complainant's Expectations

Establishing at the outset, how the complaint investigation will proceed is pivotal to an effective process.

Individuals, their representatives or support person should be made aware:

- of the processes for investigating and resolving complaints
- of the investigation timeframe
- of the communication frequency, channels and processes
- of what is expected of the individual or their representative/support person
- that the investigating officer has the authority, skills and knowledge to assess the situation and make appropriate recommendations
- of the appeals processes
- that the details of the complaint and the individual, the investigation processes and any other material will remain confidential and stored in compliance with Carers Queensland's policies.

8. Appeals

Dissatisfied individuals or their representatives are entitled to appeal the outcome of an investigation and/or escalate their concern to the relevant external complaints agencies. All appeals will be reviewed by an officer senior to the investigating officer/s to determine:

- a. is the appeal reasonable? Has the individual or their representative provided new evidence to support their ongoing complaint and will that alter the investigation outcome? or
- b. is the appeal unreasonable, vexatious or malicious?
- c. to recommend how to respond to, and manage, the ongoing allegations

A new investigation team will be identified to examine an appeal and/or support an external review.

9. Unreasonable Complainant Behaviour

a. Unacceptable and unreasonable behaviour includes:

- implied, threatened or real overt anger, aggression, bullying, violence, assault, and intimidation.
- unreasonable persistence
- unreasonable demands
- unreasonable or persistent lack of cooperation
- unreasonable or persistent arguments

b. When determining if an individual's behaviour is unreasonable the following points should be considered:

- the circumstances of the complaint - does the individual have the intellectual, mental health, health, educational, language, social and financial resources required to cooperate in the complaint investigation? If they do, then more can be expected of them in terms of their cooperation and behaviour.
- proportionality – is the individual's distress/behaviour proportionate to the loss or wrong suffered?

- responsiveness – does the individual respond well to calming measures?
 - personal boundaries – does the individual’s behaviour or language impinge on the personal boundaries of the investigating officer/s.
- c. Communicating with angry, aggressive individuals:
Carers Queensland is committed to a non-confrontational and non-resistant communication approach that avoids arguments and debates, defensiveness and unnecessary justifications through:
- attentive listening - focusing on what the complainant is saying
 - expressing empathy – giving the complainant some indication that their distress etc. is understood
 - acknowledging the individual’s point of view – acknowledging that they have a certain view or belief without necessarily agreeing to it.
 - apologising appropriately and only where necessary, stating clearly what can and cannot be done.
 - when overt anger, implied or actual threats or rudeness occurs confine the communication/interactions to writing wherever possible.
- d. Individual staff responsibilities:
- to establish a firm but polite and respectful communication with the individual or their representative from the outset
 - to remain calm when confronted by distressed, aggressive or unreasonable behaviour
 - to show respect at all times, no matter the provocation
 - to demonstrate impartiality
 - to maintain professional standards, to behave in an ethical manner
 - to accurately record all aspects of the investigation in a timely manner
 - to honour commitments
- e. Staff involved in a ‘difficult’ investigation have access to:
- timely and appropriate support from a senior manager and
 - Carers Queensland’s Employee Assistance provider.

10. Coding Complaint Data

The coding of complaints (complainant age; channels; source; risk severity; teams; programs; outcomes etc.) enables data analysis to evaluate performance against stated outcomes and informs the continuous quality improvement processes.

11. Reporting Complaint Management and Outcome Data

Statistical complaint data will be reported to the Executive Leadership Team and/or the Operational Management Group.

PART B PROCEDURES

12. Receiving a Complaint

- a. Receiving a verbal complaint (Refer to Section 7, Managing the Complainant's Expectations)
 - i. Where appropriate acknowledge the person's concern at the point of receipt
 - ii. Advise the individual you will be recording the details of their complaint, which will be escalated to a delegated officer (Lead Officer) for action
 - iii. Record the details of the complaint/s on the Complaint Form (Appendix A or Appendix B as appropriate) as completely as possible using the scripts provided (Appendix E)
 - iv. Within one (1) working day forward the Complaints Form and any associated documentation to your line manager for review and action or escalation.

If the person's mood is elevated, they are very distressed, angry, abusive or threatening (harm to others or self) obtain the primary/basic contact information and as much of the complaint detail as possible and note the record accordingly.

- b. Complaints received through the Corporate Inbox, Carers Queensland website feedback form, through the post, or adverse commentary in social media or the press:
 - i. Forward all the documentation, including social media or articles in the press to your direct line supervisor within one (1) working day.

13. Responsibilities of the Lead Officer

Nominated lead officer to:

- a. review the complaint details for accuracy
- b. assess the response time appropriate to the risk potential and severity of the complaint using the Risk Severity and Response Times Chart
- c. update the Complaints Form - Response Priority Level
- d. if requested organize an interpreter, translator cultural facilitator or for a child under 18 years, a support worker
- e. coordinate all aspects of the complaint investigation (both named and anonymous complaints)
- f. maintain communication with the individual and/or the representative/support worker throughout the process to completion
- g. keep the relevant manager/s abreast of all relevant facts, including new disclosures (harm or abuse - real or threatened, fraud) that were not a part of the initial information
- h. record and report all relevant data and information
- i. return the completed Complaint Form and documentation to:
 - (i) Appendix A - Senior Quality and Improvement Officer or
 - (ii) Appendix B - NDIS QuEST Team

14. Investigating the Complaint

Step 1: Recording the complaint and identifying the risk factor.

Steps	INITIAL ACTIONS	Responsibility
1.	<p>Upon receipt of a complaint, adverse social media or press commentary:</p> <ol style="list-style-type: none"> a. Complete the Carer and Corporate Services External Complaints Form (Appendix A) or the NDIS LAC PITS Complaint Form (Appendix B) as completely as possible. b. Forward the form and any associated documentation to your immediate line manager for review and subsequent action within one (1) working day. 	All staff excluding CEO
2.	<p>Within one (1) working day:</p> <p>Using the risk severity chart, ascertain if the complaint is a Level 1 (Low Risk), Level 2 (Medium Risk) or Level 3 (High or Extreme Risk) (refer to Section 6).</p> <ol style="list-style-type: none"> a. Update the Complaints Form and: b. Identify the responsible officer or manager for managing the complaint process (refer to Section 6) dependent on the Risk Rating c. Redirect the complaint to the relevant Lead Officer and their immediate manager or d. Escalate the complaint to the relevant Manager e. Forward copy of the compliant form and any associated paperwork to the Senior Quality and Improvement Officer (Carer and Corporate Services or NDIS QuEST Team) 	Line Manager

Step 2: Investigating the complaint

LEVEL 1 LOW RISK INVESTIGATION PROCESS			
No harm to client, staff or visitors. No loss of service. No or minor loss of reputation or client relationship.		<p>If specified on the Complaints Form:</p> <ol style="list-style-type: none"> a. arrange for an interpreter and/or translator and/or b. support worker for complainants under 18 years if requested Contact the individual or their representative to: c. acknowledge their concern d. advise the individual they have the right to have a support worker and that their privacy will be respected e. obtain the details of the complaint f. if appropriate to the concern or issued raised - offer the individual an apology, and/or an explanation or where required, a new appointment time. g. objectively record all aspects of the conversation as soon as possible after the meeting, using where possible, the words of the complainant or their representative. h. ESCALATE the complaint to your direct line manger if the complaint was not resolved. i. complete the Complaint Form j. return the completed document and any associated documentation to the NDIS QuEST Team or Senior Quality and Improvement Officer with five (5) working days. 	
Responsible staff	Corporate Services		Any staff member as directed by their Team Leader or line manager.
	Carer Services		
	Carer Services		
Receipt to Resolution Time		7 calendar days	

ALLEGATIONS OF HARM OR ABUSE (real or threatened)

If the complainant makes any allegations of harm (real or threatened) as either the victim or the perpetrator during the investigation process:

- a. contact the direct line supervisor immediately after the interview for advice
- b. make comprehensive notes of the allegation/s
- c. **DO NOT MAKE ANY PROMISES TO THE COMPLAINANT OR OTHER PARTIES INVOLVED IN THE COMPLAINT**

LEVEL 2 MEDIUM RISK INVESTIGATION PROCESS

An event that can be managed under normal circumstances. Client has suffered harm but does not require treatment, staff member has been injured and working time lost. Disruption to service, reduced efficiency. Significant financial loss. Loss of client relationship. Heightened and/or significant adverse media coverage.		<p>If specified on the Complaints Form:</p> <ol style="list-style-type: none"> a. arrange for an interpreter and/or translator and/or b. support worker for complainants under 18 years if requested c. Issue <i>Letter Acknowledging Your Complaint</i> (Appendix C) <p>Contact the individual or their representative to arrange a meeting:</p> <ol style="list-style-type: none"> d. acknowledge their concern e. advise the individual they have the right to have a support worker and that their privacy will be respected f. obtain the details of the complaint g. objectively record all aspects of the conversation as soon as possible after the meeting, using where possible, the words of the complainant or their representative. 	
Responsible staff	Corporate Services	Team Manager or General Manager	<p>Seek evidence:</p> <ol style="list-style-type: none"> h. inform staff named or identified in the complaint of the nature of the complaint i. seek from the named or identified staff contextual information to support a fair and balanced interpretation of the circumstances including written notes, diary entries, or written personal accounts. <p>Update Complaint Form:</p> <ol style="list-style-type: none"> j. update with clear, concise and objective notes of all actions and discussions relevant to the complaint investigation, including the date and/or time of those discussions or actions k. make recommendation/s as to how to address or resolve the complaint l. update the Complaint Form m. forward the Complaints Form to the respective line manager/s for review and direction as to agreed resolution to be offered or final outcome. n. update the Complaint Form with the agreed resolution or final outcome. <p>Finalising the complaint investigation process:</p> <ol style="list-style-type: none"> o. Level 2 complaints – issue <i>Confirming your complaint has been resolved</i> (Appendix D) p. Forward completed Complaint Form and all documentation to: <ol style="list-style-type: none"> i. Chief Executive Officer and relevant General Manager unless otherwise specified ii. NDIS QuEST Team or Senior Quality and Improvement Officer within five (5) working days
	Carer Services	Regional or General Manager	
	NDIS	Regional or General Manager	
Receipt to Resolution Time		14 calendar days	

LEVEL 3 HIGH to EXTREME RISK INVESTIGATION PROCESS

CARER SERVICES, STRATEGY AND CORPORATE SERVICES –
 Reduced ability to deliver strategic outcomes.
 Loss of service capability.
 Complaint has the potential to threaten ongoing existence of the program.
 Major or critical financial loss.
 Serious breakdown of client relationship.
 Permanent damage to reputation.
 Complaints made to the Ombudsman, CEO, Board, and Member of Parliament or reported in the media.

If specified on the Complaints Form:

- a. arrange for an interpreter and/or translator and/or
- b. support worker for complainants under 18 years if requested
- c. Issue *Letter Acknowledging Your Complaint* (Appendix C)

Contact the individual or their representative to arrange a meeting:

- d. acknowledge their concern
- e. advise the individual they have the right to have a support worker and that their privacy will be respected
- f. obtain the details of the complaint
- g. objectively record all aspects of the conversation as soon as possible after the meeting, using where possible, the words of the complainant or their representative.

Seek evidence:

- h. inform staff named or identified in the complaint of the nature of the complaint
- i. seek from the named or identified staff contextual information to support a fair and balanced interpretation of the circumstances including written notes, diary entries, or written personal accounts.

Update Complaint Form:

- j. update with clear, concise and objective notes of all actions and discussions relevant to the complaint investigation, including the date and/or time of those discussions or actions
- k. make recommendation/s as to how to address or resolve the complaint
- l. update the Complaint Form
- m. forward the Complaint Form to the respective line manager/s for review and direction as to agreed resolution to be offered or final outcome.
- n. update the Complaint Form with the agreed resolution or final outcome.

Finalising the complaint investigation process:

- o. Level 2 complaints – issue *Confirming your complaint has been resolved* (Appendix D)
- p. Forward completed Complaint Form and all documentation to:
 - i. Chief Executive Officer and relevant General Manager unless otherwise specified
 - ii. NDIS QuEST Team or Senior Quality and Improvement Officer within **five (5) working days**

Responsible staff	Corporate Services	Team Manager or General Manager
	Carer Services	Regional or General Manager
Receipt to Resolution Time		28 calendar days

LEVEL 3 HIGH to EXTREME RISK INVESTIGATION PROCESS (NDIS LAC PITC ONLY)

NDIS LAC PITC –
 Complaints automatically referred to the NDIA National Complaints Team include complaints made to:

- Ombudsman
- CEO
- Board
- Member of Parliament
- reported in the media
- Allegations of fraud
- Complaints relating to complex or sensitive issues.
- Significant business system failures (e.g. participant file not progressed through NDIA processes in timeframe)
- Unresolved Level 2 complaint.

Receipt of a complaint:

High to Extreme Risk Complaints made to the Chief Executive Officer, member of the Board or reported in the local press will:

- a. be recorded in the NDIS Complaints Register by the QuEST Team within **one (1) working day**
- b. forwarded to the NDIA National Complaints Team with a summary of any relevant information and any supporting documentation within **one (1) working day**.

Responsible staff	NDIS	Regional or General Manager NDIS National Complaints Team
Receipt to Resolution Time	21 calendar days	

15. Updating the Complaints Registers:

NDIS QuEST and Senior Quality and Improvement Officer to update the respective Complaints Registers and file the Complaints Form and associated documentation in a secure folder within one (1) working day.

16. Receiving a Compliment

Complete the appropriate Compliments Form (Appendix F or Appendix G) and forward the form to:

- a. Relevant Team Leader or Manager to share with the individual and/or team
- b. Appendix F - QuEST Team
- c. Appendix G - Senior Quality and Improvement Officer
- d. The QuEST Team and Senior Quality and Improvement Officer to update the Compliments Registers within one (1) working day.

17. Appendices

1. Appendix A – Complaint Form (Carer and Corporate Services)
2. Appendix B – Complaints Form (NDIS LAC PITC)
3. Appendix C – Letter of Acknowledgement
4. Appendix D - Letter Confirming your complaint has been resolved
5. Appendix E – Scripts for Obtaining Complainant Details
6. Appendix F – Compliments Form (NDIS LAC PITC)
7. Appendix G – Compliments Form (Carer and Corporate Services)

18. Related Documents

Documents related to this procedure:

- a. [Risk Management Framework](#)
- b. [Crisis Management Media Plan](#)
- c. [Delegations of Authority](#)
- d. [Dealing with Distressed Clients](#)
- e. [Practice Guide - CALD and Language Services](#)
- f. [Employee Assistance Program](#)
- g. [National Principles for Child Safe Organisations](#)
- h. [Cultural Safety](#)
- i. [Abuse, Neglect or Exploitation](#)

19. Document Control

DOCUMENT – APPROVAL AND AMENDMENT HISTORY			
	Date	Effective from	Version control
Original approval	Dec 2017	Dec 2017	
1 st approval	23/09/2019	23/09/2019	V.1.0
1 st amendment approval			

APPENDIX A - EXTERNAL COMPLAINT FORM (CARER SERVICES, STRATEGY AND CORPORATE SERVICES)

For use by Carer Services, Strategy and Corporate Services to record complaints.

PART 1 INITIAL INFORMATION					
Date received: Click or tap to enter a date.			Received by:		
Complaint received via:	<input type="checkbox"/> Verbal (office or phone)	<input type="checkbox"/> Email	<input type="checkbox"/> Letter Team	<input type="checkbox"/> Website feedback form	<input type="checkbox"/> Social media or press
Complaint reported by:	<input type="checkbox"/> Client <input type="checkbox"/> Client's representative <input type="checkbox"/> Member of Parliament <input type="checkbox"/> Member of the public		<input type="checkbox"/> NDIS/NDIA <input type="checkbox"/> External complaints agency <input type="checkbox"/> Service provider <input type="checkbox"/> Other		

Name and contact details of the person making the complaint or to whom the complaint (client) relates?			
Name:			
Address:			
Phone:		Mobile:	
Email:			
Client age:	<input type="checkbox"/> Under 18 years of age	<input type="checkbox"/> Over 18 years of age	
Client Gender:	<input type="checkbox"/> Man	<input type="checkbox"/> Woman	<input type="checkbox"/> Intersex <input type="checkbox"/> Trans* <input type="checkbox"/> Other
Interpreter:	<input type="checkbox"/> Yes <input type="checkbox"/> No	Language:	
Translation:	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Preferred communication channel:	<input type="checkbox"/> Phone	<input type="checkbox"/> Face-to-face	<input type="checkbox"/> Email <input type="checkbox"/> Letter

Complaint relates to:			
Please specify:	<input type="checkbox"/> Carer Services	<input type="checkbox"/> Corporate or Strategy Teams	<input type="checkbox"/> NDIS Services
Office/Team			
Program			
Staff, volunteer, Board member			
What is the nature of the complaint?			

Does the complaint relate to service eligibility, service delivery, policy, public information or other activity (please specify)?
What outcome is being sought/desired resolution by the individual/s?

Risk Severity	<input type="checkbox"/> Low (Level 1)	<input type="checkbox"/> Medium (Level 2)	<input type="checkbox"/> High/Extreme (Level 3)
Timeframe	7 calendar days	14 calendar days	28 calendar days

Date complaint details sent to:		
For updating the complaint registers:	<input type="checkbox"/> Senior Quality and Improvement Officer	Date: Click or tap to enter a date.
For further action including nominating Lead Officer:	<input type="checkbox"/> Team Leader or relevant manager	Date: Click or tap to enter a date.
Details sent to Lead Officer:	Click or tap to enter a date.	

PART 2 RECORD OF INVESTIGATION

Name and delegation of staff leading or supporting the investigation:
1.
2.

Acknowledging the complaint:	
Verbal acknowledgement (record file note)	Date: Click or tap to enter a date.
Written (attach copy)	Date: Click or tap to enter a date.

Date	Investigation record (attach copies of emails, letters etc.)	Signature
1/1/19	<p>FOR EXAMPLE –</p> <p>Rang (name) on phone 0400 XXX XXX at xx.xx am/pm to arrange suitable time to discuss complaint. No answer, left message to return my call.</p> <p>Sent email to client (xxxx@xxx.xx.au) to arrange time to discuss complaint. Copy of email attached.</p>	

Recommendation/s to resolve or address the complaint:
1.
2.
3.

Complaint Type	
<input type="checkbox"/> Staff attitude or rudeness	<input type="checkbox"/> Access to site or premises
<input type="checkbox"/> Provided inaccurate information	<input type="checkbox"/> Failure to respond to an enquiry within agreed or specified timeframe
<input type="checkbox"/> Unsuccessful employment application (external)	<input type="checkbox"/> Breach of cultural safety (e.g. lack of cultural awareness, homophobia, misgendering)
<input type="checkbox"/> Policy change/s	<input type="checkbox"/> Bullying or intimidation
<input type="checkbox"/> Inability to provide promoted service	<input type="checkbox"/> Ineligible for services
<input type="checkbox"/> Breach of privacy and confidentiality	<input type="checkbox"/> Other

PART 3 RESOLUTION AND CLOSURE	
Resolution (please specify and attach all documentation):	
Person advised of the outcome (attach letter or record file note)	Date: Click or tap to enter a date.
Was the person satisfied with the outcome?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Indifferent <input type="checkbox"/> Uncontactable <input type="checkbox"/> Pursuing further action

Ongoing management of a protracted dispute:	
Ongoing contact:	
Delegation and office:	

Recommendations arising from the complaint for consideration and/or action:
1.
2.
3.

Closure – documentation sent to:		
Updating the complaint register:	<input type="checkbox"/> Senior Quality and Improvement Officer	Date: Click or tap to enter a date.
For further action and resolution	<input type="checkbox"/> Team Leader or Area Manager	Date: Click or tap to enter a date.
	<input type="checkbox"/> CEO or General Manager	Date: Click or tap to enter a date.

Signature		Date: Click or tap to enter a date.
Designation		

APPENDIX B - EXTERNAL COMPLAINT FORM CARERS QUEENSLAND NDIS PITC LAC

Carers Queensland NDIS LAC PITC Complaints Form



Delivering the NDIS in your community

This form is to be used when receiving a formal complaint. Meaning: The person has stated they wished to make a complaint. All other issues which are not presented as a formal complaint are recorded on the Issue register for that site.

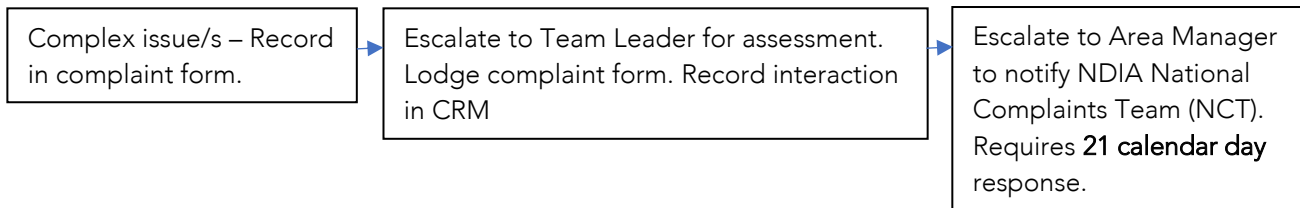
The staff member receiving any negative feedback should therefore clarify with the person if they would like to make a formal complaint in relation to their concerns so that the correct process is enacted.

Complaint Notification and Escalation: In accordance with Carers Queensland Complaints Management procedure, when a complaint has been made the Area Manager and Regional Manager must immediately be notified by text, email or phone with preliminary details to ensure complaints are managed and escalated appropriately within the required timeframes.

1. Complainant details			
1.1 First Name		1.2 Last Name	
1.3 Comments			
Complete the contact information of the person making the complaint			
2. Details of other person/s involved in this complaint			
2.1 First Name		2.2 Last Name	
2.3 Age	Under 18 years of age <input type="checkbox"/>		Over 18 years of age <input type="checkbox"/>
2.4 Gender	<input type="checkbox"/> Man <input type="checkbox"/> Woman <input type="checkbox"/> Intersex <input type="checkbox"/> Trans* <input type="checkbox"/> Other		
2.5 Interpreter	<input type="checkbox"/> Yes <input type="checkbox"/> No	2.3 Language	
2.6 Translation	<input type="checkbox"/> Yes <input type="checkbox"/> No		
2.7 Preferred communication channel	<input type="checkbox"/> Phone <input type="checkbox"/> Face-to-face <input type="checkbox"/> Email <input type="checkbox"/> Letter		
Complete the contact information of other people involved in the complaint. This could include participants, parent / guardian, LAC, NDIA etc. If you require more space add additional rows in this section.			
3. Details of the complaint			
3.1 Entered by -			
Who has collected this information and started completing this complaint form			
3.2 Reference - Choose location 3/12/2018			
The reference number is generated as the site location and the date the complaint is first received			
3.3 Notified <input type="checkbox"/> QUEST <input type="checkbox"/> Regional Manager <input type="checkbox"/> General Manager			
Notify Quest by email when the complaint is first made. This is a program contract requirement.			
3.4 Type of Complaint <input type="checkbox"/> Carers Queensland <input type="checkbox"/> NDIA			
3.5 Who reported the complaint to		Choose an item.	
Carers Queensland		Details...	
Complaints sometimes come to Carers Queensland indirectly, through NDIA, the complainant's local electorate office, or a service provider. Choose from the list and provide brief details of the selection in notes.			
3.6 Nature of the complaint		Choose an item.	

	Details...
3.7 Entered into CRM <input type="checkbox"/>	
Enter notes into CRM interactions. An Alert on the participants profile may be required.	
3.8 Complainants desired resolution	Details...
A succinct statement described the complainants desired outcome from the complaint process	
3.9 Impact of the complaint	Choose an item. Details...
What is the main impact the complaint/issue will cause. Choose from the drop down list and add notes to provide further context.	
3.10 Evidence of the complaint	<input type="checkbox"/> Verbal <input type="checkbox"/> Phone Calls <input type="checkbox"/> Emails <input type="checkbox"/> Other Details...
Please attach evidence such as emails in the appendix section and make reference to them in the notes here	
3.11 Initial actions taken	<input type="checkbox"/> Phone call <input type="checkbox"/> Email <input type="checkbox"/> Meeting Details...
Detail any actions taken at the time the complaint was made such as efforts to immediately diffuse the situation, or commitments toward a resolution.	
Investigation	
3.12 Date Updated Click or tap to enter a date.	3.13 Entered by:
3.14 Details...	
As the complaint is investigated enter additional notes. If further updates are required, add extra rows.	
4. Escalation	
4.1 Assigned To:	4.2 Level Of Complaint: Choose one
List the Management person/s the escalation has been raised with. In their assessment of the risk and complexity of the complaint assign a Level to the complaint and follow the escalation steps outline below.	
<p>Level 1 - Simple issue. The issue can be dealt with in-house by any staff member. It can usually be resolved with an apology or explanation, or assistance to connect the NDIS with the participant. Requires a resolution within 7 calendar days.</p> <pre> graph LR A[Simple issue – Record in complaint form.] --> B[Escalate to Team Leader for assessment. Lodge complaint form. Record interaction in CRM. Requires 7 calendar day response.] </pre>	
<p>Level 2 - Complex issue/s that can be dealt with in-house. These should be dealt with by a Team Leader or Area Manager. These may require de-escalation of tension/emotions and several areas that need to be resolved. Requires a response within 14 calendar days.</p> <pre> graph LR A[Complex issue/s – Record in complaint form.] --> B[Escalate to Team Leader for assessment. Lodge complaint form. Record interaction in CRM] B --> C[Escalate to Area Manager if required. Requires 14 calendar day response] C --> D[If Unresolved – move to level 3 and notify NDIA National Complaints Team (NCT)] </pre>	
<p>Level 3 - Complex issues that need to be dealt with by the NDIA National Complaints Team (NCT). An unresolved 'level 2' complaint can be moved up to a level 3 complaint. There are some types of complaints that must be automatically referred to level 3 and the NCT team. These include complaints made to the</p>	

Ombudsman, CEO, Board or Executive, through the media or ministerial correspondence, or those with multiple complex issues, sensitive issues or those that include cases of potential fraud. Level 3 complaints have to be responded to within 21 calendar days.



4.3 Team Leader Notified Area Manager notified NDIA notified

4.4 Resolution due Click or tap to enter a date. (7 / 14 / 21 days from date complaint was received)

4.5 Details...

Clearly identify who the complaint has been escalated to.

5. Resolution

5.1 Assigned To: 5.2 Actions Due: Click or tap to enter a date.

5.3 Action/steps taken to resolve the complaint Phone call Email Meeting

5.4 Details...

5.5 When, with whom and who made contact? Date: Click or tap to enter a date. Time: 02:15 am
Contact made with:
Contacted by:

5.6 Is further documentation required? Choose response
Details...

5.7 Discussion outcome Choose response

5.8 Was the complainant satisfied with the outcome of the conversation? Choose response
Details...

5.9 Any other relevant information Details...

5.10 Contact details of who will remain the point of contact until the complaint has been resolved? Name:
Email:
Phone:

5.11 Status / Date closed? Choose response Click or tap to enter a date.
Details...

Appendix

Copy and paste relevant evidence and documentation. Include who the document is from, the type of document, and the date it was created.

APPENDIX C – LETTER ACKNOWLEDGING A COMPLAINT (on the local office letterhead)

Dear

I have received a copy of your complaint about [summary descriptions of the complaint].

[Insert apology or expression of regret. For example: We are sorry that you have experienced XXXXXX].

We are committed to providing quality services and we will be looking into your complaint over the next xxx days/weeks. We will review the circumstances surrounding your complaint, why it happened and what we can do to prevent it from happening again. As a part of our enquiry we will be speaking with the staff involved in the events leading up to your complaint.

Our enquiry should be completed by [date].

If you are not satisfied with the way we handle your complaint, you can contact [insert name of nominated senior manager] on 3900 8100 at any stage.

If you have any concerns or would like to discuss any of these matters please contact me on [insert details].

Yours sincerely,

Name

Designation

Date

APPENDIX D - LETTER CONFIRMING A COMPLAINT HAS BEEN RESOLVED (on the local office letterhead)

Dear

Thank you for discussing your concern/s about [insert details of the complaint] on [insert date of discussion/s].

I wish to confirm that we have agreed to [insert details about agreed facts, any actions taken or promised].

I understand that you do not want us to take any further action on this matter. Please let me know if there is anything else you would like to discuss with me.

Thank you for taking the time to assist us.

Yours sincerely

Name

Designation

Date

APPENDIX E – SCRIPT TO SUPPORT THE DIVERSITY QUESTIONS

Just as you cannot tell an Aboriginal or Torres Strait Islander from their appearance, sound of their voice or accent, you cannot tell if a person identifies as gender diverse by their name.

You are not discriminating against a person by asking about their cultural or gender identity.

This script is to be read to potential clients, clients and/or their representatives before asking demographic/diversity questions. The purpose of this approach is to highlight a consistently inclusive and welcoming approach to clients, explain the rationale for the data collection at Carers Queensland and reassure clients that they are not being “singled out” for “intrusive” questions.

SCRIPT

Before I ask you any questions I would like to read you the Carers Queensland’s Privacy Statement

Carers Queensland:

- will manage all information received by the organisation in accordance with the 13 Australian Privacy Principles defined in Schedule 1 of the Privacy Amendment (Enhancing Privacy Protection) Act 2012, which amends the Privacy Act 1988 and*
- is committed to managing personal information in an open and transparent way, protecting your right to privacy. Personal information about clients, former clients, care recipients, staff and volunteers is considered confidential and subject to privacy restrictions under current federal and state legislation.*

When you sign up to our services, or when you provide feedback, we will ask you some questions about language, cultural background, Aboriginal and/or Torres Strait Islander heritage, gender and intersex status.

We ask these questions to help us understand the communities we work with and to improve the services we provide. You are not required to disclose any information you don’t want to. What you tell us is personal to you and is confidential to us.

Aboriginal and Torres Strait Islander status

“Are you (or is the person you care for and support) of Aboriginal and/or Torres Strait Islander origin?”

Sex:

“Are you (or is the person you care for and support) Male, Female, Intersex or Other or prefer not to say?”

Gender:


“Do you (or the person you care for and support) identify as a Man, Woman, Intersex Man, Intersex Woman, Trans or Other or prefer not to say?”*

APPENDIX F – CARERS QUEENSLAND NDIS LAC PITC COMPLIMENT FORM

Carers Queensland NDIS LAC PITC Compliment Form



Delivering the NDIS in your community

6. Details of the Compliment					
<p>1.1 What would you like to compliment us about? <i>Please circle or add as other:</i></p> <p>Customer Service / LAC Support / Plan Outcome / Overall Service</p> <p>Other:</p>					
<p>1.2 Please use this space to tell us about your experience:</p>					
<p>a. Is there a particular person you would like to mention?</p>					
<p>b. Is there a particular person you would like this compliment forwarded to?</p>					
<p>1.5 Date of interaction __/__/__</p>			<p>1.3 Todays date __/__/__</p>		
<p>1.6 Would you like any follow up contact or action?</p>					
7. Person making Compliment * Optional – please include your details if you would like us to contact you.					
<p>2.1 First Name</p>				<p>2.2 Last Name</p>	
<p>2.3 Phone</p>		<p>2.4 Email</p>		<p>2.5 NDIS ID</p>	

Thank you for taking the time to provide us with feedback, we appreciate it!

3. For Office use
3.1 Entered by -
3.2 Reference - Choose location 3/12/2018
3.3 Notified <input type="checkbox"/> QUEST <input type="checkbox"/> Regional Manager <input type="checkbox"/> General Manager
3.4 Entered into CRM <input type="checkbox"/>

APPENDIX G – CARER SERVICES, STRATEGY AND CORPORATE SERVICES COMPLIMENTS FORM

Details of the compliment			
What would you like to compliment us about?			
<input type="checkbox"/> Staff behavior	<input type="checkbox"/> Quality service	<input type="checkbox"/> Advocacy	<input type="checkbox"/> Office premises
<input type="checkbox"/> Staff attitude	<input type="checkbox"/> Speedy response	<input type="checkbox"/> Marketing material	<input type="checkbox"/> Being LGBTIQ inclusive
<input type="checkbox"/> Other (please specify)			
Please use this space to tell us about your experience?			
This happened on: __/__/____		Office or Team:	
Is there someone you would like us to pass on your compliment:			
1.			
2.			
Person making the Compliment (Optional):			
Name:			
Phone/Mobile:			
Email:			