

Parklands Albury Wodonga Ltd

3.1 Complaints and Compliments Policy

| Policy Type: | Relationships |
|---|--|
| Risk Rating: | High |
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| Ratified By: | Executive Officer |
| Standards/Legislation and Regulations : | Australian Standard AS 4269-1995 – Complaints Handling. Public Records Act 1973 |
| Other Documents and Forms | |
| Reference | |
| Other Related Policies and Procedures | Grievance Handling Policy (Workplace Policy) Stakeholder Relationships Policy |

Contents

| | |
|---|---|
| 1. Objective of Policy | 2 |
| 2. Defining a complaint | 3 |
| 3. Receiving a Complaint | 3 |
| 4. Recording a complaint..... | 4 |
| 5. Complaints Resolution Officer..... | 4 |
| 6. Complaints Register | 6 |
| 7. Remedies for Resolving Disputes | 6 |
| Appendix A - Process Flow Diagram..... | 7 |
| Appendix B – Complaints / Incident Report | 8 |

3.1.1. Objective of Policy

To ensure that complaints are resolved in an efficient and professional manner in accordance with our legal requirements to ensure client satisfaction.

It is our policy to promote the highest standard of service for our clients. We endeavour to ensure that all complaints are resolved satisfactorily and in a timely manner.

The purpose of this policy is to provide assistance to **parklands** staff on the interpretation of dealing with client complaints in accordance to the Australian Standard AS 4269-1995 – Complaints Handling.

As outlined in AS 4269-1995; our Complaints Handling Policy demonstrates:

Commitment

We are committed to efficient and fair resolution of complaints by people in the organization at all levels, including the Executive Officer and Board of Directors. We acknowledge consumers' rights to complain and actively solicit feedback from consumers.

Fairness

We recognise the need to be fair to both the complainant and the organization or person against whom the complaint is made.

Resources

We have adequate resources for complaints handling with sufficient levels of delegated authority. We further identify the needs for complaints to be reviewed by someone in an independent position (ie; someone who was not involved in the matter complained about).

Visibility

Our complaints handling process will be available on our website www.parklands-alburywodonga.org.au for which clients and all staff can access this policy on our intranet.

Access

Our complaints handling process is accessible to all and ensures that information is readily available on the details of making and resolving complaints. The complaints handling process and supporting information is easy to understand and is in plain language.

Assistance

We will offer assistance to complainants in the formulation and lodgement of complaints.

Responsiveness

Complaints shall be dealt with quickly and the complainants shall be treated courteously.

Charges

There will be no charge to the complainant, to lodge a complaint, subject to statutory requirements.

Remedies

Our Complaints Handling Policy has the capacity to determine and implement remedies.

Data collection

Complaints and outcomes will be recorded in our Complaints Register.

Systematic and Recurring Problems

Complaints shall be classified and analysed for the identification and rectification of systematic and recurring problems.

Accountability

We have appropriate reporting on the operation of the complaints handling process against documented performance standards.

Reviews

Our Complaints Handling Policy is scheduled to be reviewed annually in August.

3.1.2. Defining a complaint

Complaints that must be recorded under this policy may constitute, but are not limited to, the following:

- Where the complainant has suffered financial loss as a result of a failure on the part of **parklands** in the provision of a product and/ or service pursuant to a contract.
- Failure to provide appropriate advice / information.
- Failure to meet customer protection standards or codes of conduct.
- Fraud.
- Breach of Terms or Conditions.

This grievance will not be entered as a complaint or dealt with under this policy. Grievances can generally be resolved within a day or two, if not immediately.

3.1.3. Receiving a Complaint

It is preferable that complaints of this nature are received in writing (including e-mail, facsimile and letter). Verbal complaints will be accepted under this policy.

As a general rule all complaints / grievances should be dealt with using the following Acronym:

A Answer each call in a positive way
L Listen to what the client is saying
E Empathise with what they are saying (but do not admit liability)
R Repeat / reinforce your understanding of the situation
R Resolution, offer them a resolution to the situation (within guidelines)
T Terminate the call in a positive manner

a) Written complaints

The written complaint should clearly state:

- The exact dissatisfaction with the product / service; and
- Any financial loss incurred.

This letter should be addressed to:

**The Complaints Resolution Officer
Parklands Albury Wodonga
PO Box 1040
Wodonga VIC 3689**

b) Verbal Complaints

Where possible it is desirable that complaints are submitted in writing by the complainant. Should the complainant not wish to comply with this request, then the following process should be followed:

- Identify yourself, listen, record details and determine what the complainant wants.

- Confirm the details received.
- Empathise with the complainant in a courteous manner.
- Explain the courses of action available.
- Do not attempt to lay blame or be defensive.
- Resolve the complaint if possible or commit to doing something immediately, irrespective of who will ultimately hand the complaint.
- Ensure that the complainant is informed that the complaint is receiving attention, without creating false expectations.
- Check whether the consumer is satisfied with the proposed action and, if not, advise alternative courses of action.
- On completion of the conversation with the client the employees will compile a file note of the conversation.
- The employee will then forward this file note to the client to sign. The file note should have clearly marked at the bottom of the page:

“The above commentary contains a complete and accurate record of the complaint and subsequent discussions”

signed:

printed name:

date:

3.1.4. Recording a complaint

1. It is the responsibility of the employee who receives the complaint to forward the complaint to the Complaints Resolution Officer who must enter the complaint into the complaints register (folder).

The complaints register tracks the status of all complaints. The Complaints Register is a hard copy folder where all complaints (verbal and written) are stored.

2. Complete the Complaints / Incident Form (Refer Appendix I) Retain a copy and return the original to the complaints resolution officer immediately. The original documentation is kept on file by the complaints resolution officer.

3. Advise the client that the complaint will be forwarded to the complaints resolution officer and they will be contacted within 48 hours.

4. Provide details of our complaints resolution officer to the client for their future reference.

3.1.5. Complaints Resolution Officer

The **parklands** complaints resolution officer is:

Executive Officer

Telephone(02) 6023 6714

Email: info@parklands-alburywodonga.org.au

Responsibility of the Complaints Resolution Officer

The complaints resolution officer must send a letter to the client within 48 hours of receipt of the complaint assuring earliest attention and that an investigation is underway.

1. The complaint must be resolved within 10 business days where practicable.

2. Where the complaint cannot be resolved within 10 business days, the client must be contacted and the delay explained. In any event, the complaint must be resolved within 45 days from the date of receipt of the complaint.(ASIC policy statement 139)
3. The client must be informed of the criteria and process including the avenues for further review applied by Parklands in dealing with complaints. Explain their rights to them and be patient and courteous.
4. Ensure that the complainant is familiar with the complaints procedure. The complainant is entitled to receive a copy of our complaints handling procedure should they request it or if they are unfamiliar with the process.
5. The client must be advised that they have a right to be heard and supply material in support of their complaint, if they desire.
6. A complaints file must be opened for each complaint received and must contain at least the following information:
 - The complaints entry form
 - Copies of background data eg account opening forms, all correspondence and transaction listings.
 - File notes of interviews with relevant staff.
 - Copies of all correspondence to the client in relation to the complaint.
 - File notes of interviews with relevant staff.
 - Copies of all correspondence sent to the client in relation of the complaint.
 - File notes of all telephone conversations with the client and **parklands**.
 - Action plan to resolve the complaint.
7. The complaints resolution officer must contact the relevant employees and request a written report from each one.
8. The complaints resolution officer must arrange a meeting with the relevant employees and at least one member of the executive team to discuss the complaint and develop an immediate action plan to resolve it . For instance, if the complaint is relating to land licensing, then the staff responsible for the land licensing should be present at the meeting.
9. Where possible, complaints should be reviewed by someone in an independent position (eg someone who was not involved in the matter complained about) ideally if the complaint is about the quality of advice or the appropriateness of the advice, the person to independently review the complaint should be the compliance manager, due to the technical nature of the advice provided.

When responding to the clients complaint, you must include the following:

- Reason for the decision.
 - Address the issue raised in the initial complaint.
 - Refer to applicable in legislation, codes, standards or procedures.
 - Advise the client that if they are not satisfied with the outcome of their complaint they may refer their complaint to financial industry complaints service limited of which **parklands** is a member.
 - A copy of the response to the client must be given to the relevant employee involved.
10. It is the responsibility of the complaints resolution officer to notify our professional indemnity insurer of the dispute if applicable.
 11. It is the responsibility of the complaints resolution officer to ensure that the membership of the external resolution scheme is current.

12. It is the responsibility of the complaints resolution officer to report the dispute to the responsible officer if appropriate.

13. The complaints resolution officer should at all times keep the client informed in writing of what is happening. Wherever possible try to keep to a timetable and if there are any delays advise the client promptly in writing and inform them of when they can expect to hear additional information.

14. The complaints resolution office will review the complaints register on a quarterly basis for the purpose of providing analysis to the management team on systemic and recurring problems. This analysis will assist the company to determine the cause of complaints and whether remedial action is warranted.

As stated in AS 4269-1995(clause 3.2) the aggregated data can be used to:

- (a) Redesign products and services.
- (b) Change organisational practices and procedures.
- (c) Retrain staff on product and service delivery.
- (d) Re-assess consumer information needs; eg labelling / instructions.
- (e) Assess the performance of after sales service.
- (f) Give early warning about potential product and service defects.

3.1.6. Complaints Register

The Complaints Resolution Officer is responsible for logging the complaint into the Complaints Register. The register is a folder stored in the Finance Manager office. The Complaints Resolution Officer must maintain the Complaints Register. Complaints must be kept on the register for 7 years. Every complaint must be recorded in the complaints register.

3.1.7. Remedies for Resolving Disputes

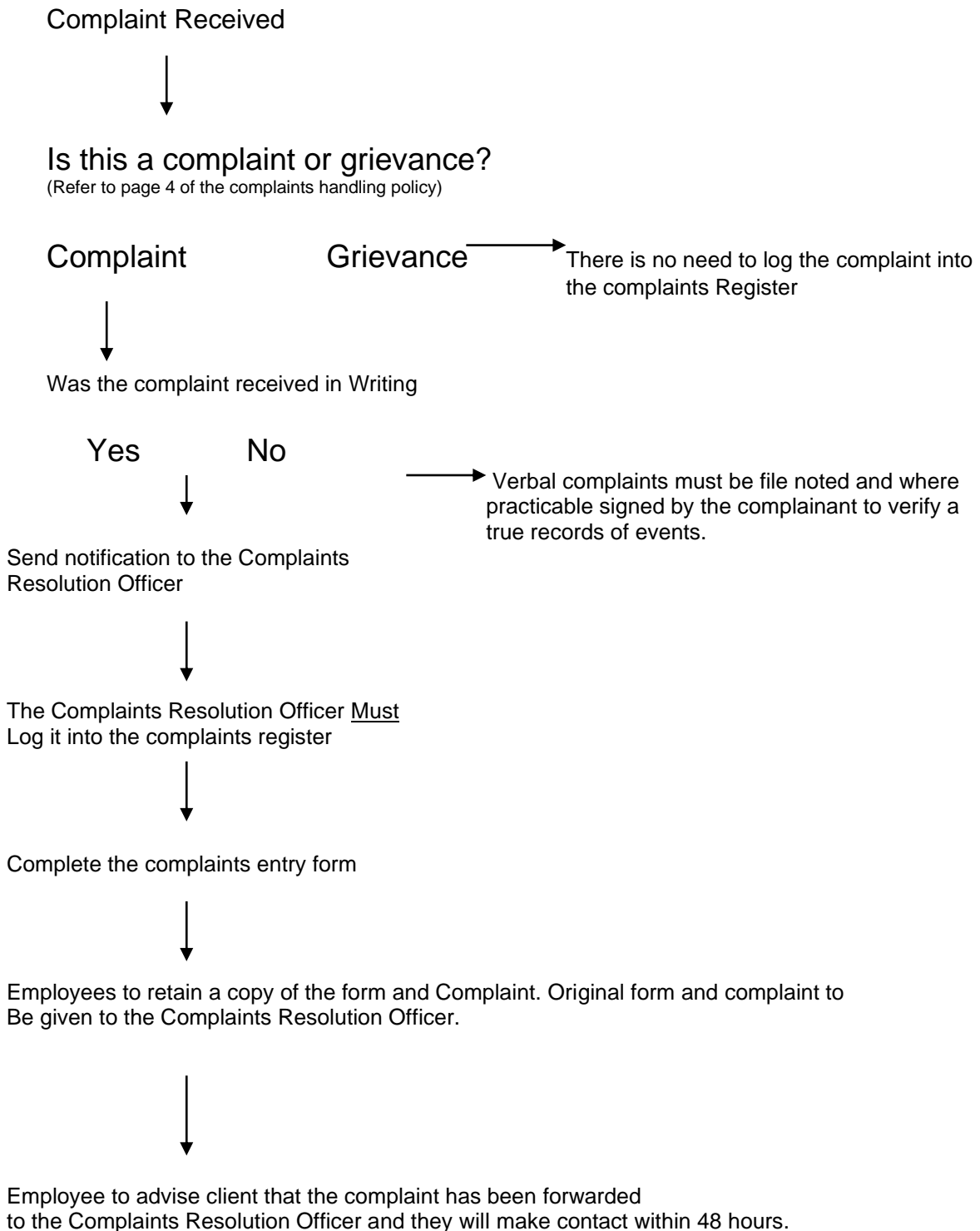
Possible remedies for resolving disputes include;

- Apology;
- Financial assistance
- Provision of free services;
- Reduction or refund of fees paid;
- Compensation;
- Disciplinary action against staff members, and
- Mediation.
- Replacement
- Repair
- Substitute
- Technical Assistance
- Additional Information
- Other assistance
- Goodwill gift or token

The complaints Resolution Officer must approve remedies before being offered to the client. In dealing with complaint, ensure the company addresses all aspects of the complaint, follow up where appropriate and; whether it is appropriate to offer remedies to others who may have suffered in the same way as the complainant but did not make a complaint.

Appendix A - Process Flow Diagram

Complaints Handling Flowchart for Employee & Lodgement



Appendix B – Complaints / Incident Report

**Parklands Albury Wodonga Ltd
Complaints / Incident Report**

| | | | |
|------------------------------------|---------------------------------------|-------------------------------------|--------------------------------|
| Name of Person: | | Date: | |
| Contact Number: | | Time: | |
| <input type="checkbox"/> Complaint | <input type="checkbox"/> Congratulate | <input type="checkbox"/> Suggestion | <input type="checkbox"/> Other |

Location:

| | | | |
|-------------|---------------------------------------|---|--|
| Telephone: | <input type="checkbox"/> Office | <input type="checkbox"/> Mobile Phone | |
| Discussion: | <input type="checkbox"/> One-on-One | <input type="checkbox"/> Group (Witness): | |
| | <input type="checkbox"/> Verbal Abuse | <input type="checkbox"/> Physical Abuse | |

Issue:

Comments:

Further Action to be taken by:

☐

Finance Manager

☐

Ranger

☐

Executive Officer

☐

Board

Priority:

☐

Immediate

☐

High

☐

Low

☐

Routine

Action Required/Notes:

Staff Member:

Witness:

Signature:

Signature:

Date: