

<b>1.1.17: COMPLAINTS POLICY</b>	
Statutory Policy	
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## 1. POLICY STATEMENT

- 1.1 Council is committed to the provision of quality service to customers and regards complaints as an opportunity to improve practices and procedures as well as resolve the matter.

## 2. PURPOSE

### 2.1 Purpose

- 2.1.1 The aim of this policy is to provide a fair, consistent and structured process for Council's customers if they are dissatisfied with a Council action, decision or service. Lessons learnt from complaint investigations will be used to directly inform service improvements.
- 2.1.2 Emphasis will be placed on resolving complaints as quickly as possible. However, where complaints cannot be settled in the first instance Council will ensure that they are dealt with through appropriate, more formal procedures by staff with the authority to make decisions.

### 2.2 Scope

- 2.2.1 Where Council has failed to meet the normal standards for a service which has been, or should have been, delivered this policy will apply.
- 2.2.2 Complaints which are determined to be about matters that are not Council's responsibility, such as disputes between neighbours, will not be handled under this policy.
- 2.2.3 Council also receives service requests and feedback across all areas of operations and clarification may be necessary to make the distinction for the purposes of this policy. Requests for Service are covered by the Request for Service Policy 1.1.18.

### 2.3 Definitions

**Complaint** is an expression of dissatisfaction with a product or service delivered by the Council or its representatives, that has failed to reach the standard stated, implied or expected. This includes complaints about a service that has been, or should have been delivered.

**Employee** includes a person employed directly by Council (whether that position is permanent or contractual) and persons providing services to, or on behalf of, the Council even though they may be employed by another party.

**Feedback** can take the form of comments, both positive and negative, about services provided by Council without necessarily requiring a corrective action, change of services or formal review of a decision. Feedback may, however, influence future service reviews and delivery methods.

**Request for Service** is an application to have Council or its representative take some form of action to provide a Council service (refer Request for Service Policy 1.1.18).

## 2.4 Strategic Reference

### 5 Governance and Financial Sustainability

- 5.4 We put the customer first and give each customer a great experience of Council's services.
- 5.5 We meet or exceed legislative and accreditation requirements for all relevant programs.

## 3. PRINCIPLES

### 3.1 PRINCIPLES

This policy is based on five principles, which will be fundamental in the way Council approaches complaint handling. They are:

- a) **Fairness:** treating complainants fairly requires impartiality, confidentiality, and transparency at all stages of the process
- b) **Accessibility:** to be accessible there must be broad public awareness about Council's Policy and a range of contact options.
- c) **Responsiveness:** this will be achieved by providing sufficient resources, well trained staff and review and improvement of the systems.
- d) **Efficiency:** complaints will be resolved as quickly as possible, while ensuring that they are dealt with at a level that reflects their level of complexity.
- e) **Integration:** cooperation of different areas of Council where the complaint overlaps functional responsibilities.

### 3.2 COUNCIL'S COMMITMENT TO COMPLAINT HANDLING

- 3.2.1 Council welcomes complaints as a way of improving its services and programs as well as providing an opportunity to put things right.
- 3.2.2 This policy will be made widely accessible to ensure that customers are fully aware of their right to complain. Information about how to lodge a complaint will be placed in a prominent position on Council's website.
- 3.2.3 Except for minor Tier 1 responses, Council will, whenever possible, have complaints handled independently of the original decision-maker or officer involved in the matter that is the subject of the complaint.
- 3.2.4 A person can make a complaint in a number of ways:
  - a) Complete the appropriate form on Council's Website
  - b) Telephone
  - c) Email
  - d) Letter
  - e) Visit a Council customer service office.
- 3.2.5 Complainants will be advised of the likely timeframe required to investigate and resolve a complaint and regularly updated as to progress where necessary.
- 3.2.6 Employees will be trained to manage complaints efficiently and effectively, and provided with a level of delegated authority appropriate for the nature of complaints they are expected to resolve.
- 3.2.7 Communication with the complainant is an important ongoing process while undertaking the actions necessary to resolve a complaint.

### 3.3 COMPLAINT HANDLING PROCESS

3.3.1 The following steps will be followed by staff to ensure complaints are dealt with efficiently and effectively:

- a) Acknowledge complaints promptly
- b) Assess the complaint - simple problems may not need to be investigated
- c) Plan the investigation where one is warranted
- d) Investigate the complaint
- e) Respond to the complainant with a clear decision
- f) Follow up any customer service concerns
- g) Consider whether there are systemic issues which need correction.

3.3.2 In addition to the above, it is also essential that upon receipt of a complaint that the application of the Public Interest Disclosure Policy, should also be considered.

#### 3.3.3 Timeframes

Where a complaint cannot be resolved immediately the complainant will be advised of the process to be undertaken. **Council will respond within ten (10) business days**, acknowledging receipt of the complaint and, where possible, resolving it at that time. If a resolution is not possible at that time, the complainant will be kept regularly informed of progress by email, letter or personal contact.

3.3.4 It is essential that no one is excluded from lodging a complaint because of any difficulties they may have representing themselves. All staff are expected to offer assistance where appropriate and provide it on request, including assistance in documenting the complaint in writing when circumstances warrant.

If necessary arrange access to interpreters, aids or advocates to ensure that a complainant is treated equitably.

3.3.5 There are also other complaint procedures which apply to particular types of complaints. If a complaint would be more properly dealt with by another process, this will be explained to the complainant at the outset. For example:

- a) Complaints against the conduct of a Councillor or Employee
- b) Freedom of Information applications
- c) Insurance Claims
- d) Decisions made under legislation other than the *Local Government Act 1999*, such as the *Development Act 1993* or *Expiation of Offences Act 1996*.

3.3.6 In some instances, it may be appropriate to consider mediation, conciliation or neutral evaluation under the Council's scheme authorised by Section 271 of the *Local Government Act 1999*. Costs and expenses of the appointment and work of a mediator, conciliator or evaluator will be shared equally between the Council and the other party.

### 3.4 PROCEDURES FOR RESOLVING COMPLAINTS

#### 3.4.1 *Immediate response to resolve the complaint*

All staff are empowered to handle complaints in the first instance and it is preferable that they are dealt with promptly at the initial point of contact and at the appropriate officer level.

#### 3.4.2 *Complaint escalated to a more senior officer*

A complaint will be directed to a more senior officer in the Council, where circumstances indicate that the complaint would be more appropriately handled at a higher level. This may occur where an officer has been involved in the matter that is the subject of the complaint, where the complaint is about an issue that requires a decision to be made at a more senior level, or where a complaint concerns a matter that ranges across more than one Council work area.

#### 3.4.3 *Internal review of a Council decision by statutory process*

Internal review of a Council decision is available under Section 270 of the *Local Government Act 1999* (refer Council's Internal Review Policy/Procedure 1.1.05). This is a process established by legislation that enables a Council to reconsider all the evidence relied on to make a decision, including new evidence where relevant. This process is generally a last resort in the complaint handling process, but may also be used in situations which are not able to be resolved by other means, such as a complaint about a decision of the Chief Executive Officer.

3.4.4 While Council prefers to work with its customers to resolve complaints quickly and effectively, a complainant will always retain the right to seek other forms of resolution, such as contacting the Ombudsman, or taking legal action at any time. Note however, that as a general rule, the Ombudsman prefers a complaint to be addressed by Council in the first instance.

### 3.5 UNREASONABLE COMPLAINANT CONDUCT

3.5.1 All complaints received by Council will be treated seriously and complainants will be treated courteously. However, occasionally the conduct of a complainant can be unreasonable. This may take the form of unreasonable persistence, unreasonable demands, lack of cooperation, argumentative or threatening behaviour.

3.5.2 Where a complainant's behaviour consumes an unwarranted amount of Council resources or impedes the investigation of their complaint, a decision may be made to apply restrictions on contact with the person. Before restricting contact, the complainant will be warned that, if the specified behaviour(s) or actions continue, restrictions may be applied.

3.5.3 Any decision to suspend action on a complaint will be made by the Chief Executive Officer or his/her delegate and communicated in writing to the complainant.

### 3.6 USING COMPLAINTS TO IMPROVE SERVICE

3.6.1 Quality of service is an important measure of Council's effectiveness. Learning from complaints is a powerful way of helping to develop the Council and increase trust among the people who use our services. Learnings may lead to changes in Council's Policies, procedures and practices where appropriate.

### 3.7 PRIVACY AND CONFIDENTIALITY

3.7.1 Complainants have a right to expect that their complaint will be investigated in private, to the extent possible. The identity of complainants will be made known only to those who need to know in the process of investigating the resolving the complaint. The complaint will not be revealed or made public by the Council, except where required by law.

3.7.2 All complaints lodged with Council are subject to the *Freedom of Information Act 1999* and confidentiality cannot be guaranteed under the provisions of that legislation.

### **3.8 REMEDIES**

- 3.8.1 Where complaints are found to be justified Council will, where practicable, remedy the situation in a manner which is consistent and fair for both Council and complainants. The solution chosen will be proportionate and appropriate to the circumstances.
- 3.8.2 As a general principle the complainant should, so far as possible, be put in the position he or she would have been in, had things not gone wrong. This may mean providing the desired service or changing a decision. Sometimes, however, it may only be possible to offer an apology.
- 3.8.3 Compensation will only be offered in cases where the loss or suffering is considered substantial. The Elected Council and the Chief Executive Officer are the only representatives authorised to offer financial compensation and may consult with the Local Government Association Mutual Liability Scheme before taking any such action.
- 3.8.4 Council may seek to use alternative dispute resolution methods such as mediation to resolve a complaint in circumstances where the Chief Executive Officer or his/her delegate deems such a course of action appropriate and the complainant is amenable to that process.
- 3.8.5 When advising a complainant of the outcome of an investigation of a complaint, Council will provide information about alternative remedies, including any rights of appeal and the right to make a complaint to an external agency such as the SA Ombudsman.

### **3.9 REPORTING**

- 3.9.1 Council will be provided with information from the 6 monthly Ombudsman Reports detailing the nature and category of complaints received.

### **3.10 COMPLAINTS REGARDING CODE OF CONDUCT FOR COUNCIL EMPLOYEES**

- 3.10.1 Where a person alleges -

- a) an employee (or a relative of an employee) has sought or received a gift or benefit that is, or could reasonably be taken to be, intended or likely to create a sense of obligation on the part of the employee to a person or to influence the employee in the performance or discharge of the employees functions or duties; or
- b) an employee has failed to record, or correctly record, details of a gift or benefit received by the employee (or a relative of an employee) on the gift and benefits register; or
- c) the CEO has not appropriately maintained a register for gifts and benefits received by employees of the Council,

they may submit a complaint alleging that an employee of Council has contravened or failed to comply with the Code of Conduct for Council Employees, as prescribed in Schedule 2A of the *Local Government (General) Regulations 2013*.

- 3.10.2 A complaint must be given to the Chief Executive Officer. In the case of a complaint against the Chief Executive Officer, a complaint must be given to the principal member of the council, except in circumstances where it would be inappropriate to do so (such as where legislation requires the matter to which the complaint relates to remain confidential).
- 3.10.3 A complaint will be investigated and resolved according to the industrial and human resource procedures of the Council.

## **4. RESPONSIBILITY & REVIEW**

### **4.1 Responsible Officer**

- 4.1.1 All Council staff who may be involved in receiving or processing a complaint in the course of their work must adhere to this policy.
- 4.1.2 Officers will act reasonably and transparently, demonstrate good customer service, undertake their responsibilities in a proficient manner and use their judgement where necessary to ensure an outcome in line with this document.
- 4.1.3 The Chief Executive Officer is responsible for ensuring the adherence by staff to the provisions of this policy.

### **4.2 Availability**

This policy will be available on Council's website.

### **4.3 Review**

This policy will be reviewed within 12 months of a General Election for Local Government, or as required to meet other obligations.

## **5. REFERENCES**

### **5.1 Legislation**

Schedule 2A Local Government (General) Regulations 2013  
Section 270 - Local Government Act 1999

### **5.2 Other References**

SA Ombudsman's Enquiry Procedure - A Guide for Councils (AR11/825)  
Code of Conduct Elected Members 1.1.01  
Code of Conduct for Council Employees  
Fraud and Corruption Prevention 2.6.08  
Internal Review of Council Decision 1.1.05  
Public Interest Disclosure Policy 2.4.01  
Request for Service Policy 1.1.18