

## Complaints Policy

The Board have adopted this Policy to address, determine and monitor Complaints made against the ORIA, its members and staff. ORIA may engage external assistance as and when considered necessary to assist with implementation of this Policy.

The purpose of this Policy is to establish a timely, fair and transparent mechanism for the determination of Complaints. All Complaints subject to this Policy shall be conducted with procedural fairness and natural justice.

ORIA will not accept a complaint and shall not deal with matters that are reasonably considered vexatious or trivial. Further, this Policy acknowledges that the ORIA:

- does not possess the powers of a Court or Tribunal;
- has limited Complaints Procedure resources;
- must at all times retain the ability to determine its own capacity to manage complaints; and
- does not seek to deal with Complainants which are the subject, or become the subject, of complaints procedures implemented by other entities.

The Company Secretary is responsible for complaints handling. Where the Company Secretary is the subject of the complaint, the complaint shall be dealt with by the Board Chair. The Company Secretary is responsible for maintaining a Complaints Register and for performing a root cause analysis on received complaints on an annual basis. A de-identified version of the Register and the results of the analysis should be presented to the Board annually.

Anyone can make a complaint and the complaint can come in any format. Ideally, a complaint will be lodged using the Complaint Form (appendix A) or as a written letter or email. A complaint should include sufficient detail of the nature of the Complaint, the details of the Complainant and their sought redress, to allow the Company Secretary to investigate the complaint.

This Policy recognises that making a complaint is a serious step and that such action may not be taken if a Complainant is required to disclose their identity. Therefore, a Complainant making a complaint in accordance with this Policy is strongly encouraged to, but is not required to, disclose their identity when making a Complaint. If a Complainant declines to disclose their identity in the complaint, ORIA may be limited in how they are able to proceed with the complaint. Complainants making anonymous complaints should assume that their identity may become known during investigation due to the disclosure of relevant identifying facts, matters and issues. ORIA shall not be responsible for any identification of anonymous Complainants. The Company Secretary may at any time and at their discretion decide to cease any ongoing action that they are then undertaking in relation to a complaint due to the failure of the Complainant to disclose their identity.

Once a complaint is received, the Company Secretary:

- is required to acknowledge receipt of the complaint within 10 working days of receiving it;
- is required to determine if the complaint falls within the scope of the ORIA's ability to handle the complaint (as detailed above) within 15 working days of acknowledging receipt of the complaint. If more

information is required from the Complainant to make this determination, the information should be requested and the deadline for assessment is moved back a further 10 working days;

- will inform the Complainant if the complaint is outside the scope of the complaints process; and
- will, if the complaint can be addressed, within 20 working days of determining that the complaint can be addressed and all requested information being provided, inform the Complainant of the outcome of the complaint, including whether:
  - there is a written outcome of investigation and any action taken;
  - the complaint has been escalated to the ORIA Board for consideration at their next meeting; or
  - the complaint has been referred to external agency.

When determining the outcome, the Company Secretary shall have regard to:

- the urgency of the complaint;
- implications of the complaint to the ORIA and Objects as defined in the Constitution;
- the complexity of the complaint;
- the resources available in the ORIA to Investigate and manage the complaint;
- the specific skill set of the Board;
- the identity of the subject of the complaint and their circumstances; and
- the existence of an exceptional circumstances.

The Company Secretary may engage relevant external assistance when conducting the determination of the outcome.

The ORIA Board may be asked to consider complaints referred to it by the Company Secretary. The Board shall seek to make a determination within six months of a Complaint being referred but may advise the Complainant, in writing, if more time is required. The outcome of Board investigation can be any of the following:

- no further action is required in respect of the Complaint;
- the Complaint is dismissed;
- the Subject of the Complaint is to be counselled;
- the Complaint is to be referred to an External Agency; or
- a change to ORIA policy or process.

Any ORIA Board members considered to have a real or perceived interest in the Complaint, or any aspect of it, must refrain from participating in the Complaint review process. The Board may engage relevant external assistance and/or obtain advice, including from RANZCO, in the context of reaching its determination.

To the fullest extent permitted by Law, this Policy does not oblige ORIA to take any steps which are not in its interest.



## Complaints Form

### Office Use Only

Date Received Identified/Anonymous

Complaint Number Complaint Officer

### Required Information – About You

Name

Email

Phone

Address

Do you wish to remain anonymous? Y / N

### Required Information – About the complaint

Details of the complaint:

Your relationship to the subject of the complaint, including their name:

Describe the setting in which the relevant conduct occurred:

How have you personally been affected by the relevant conduct?

Has your Complaint previously been referred to any other person, organisation, government department or agency? Y / N

If yes, please identify:

- (a) the name of the organisation/government department or agency
- (b) the date of complaint
- (c) the nature of the complaint

Specify the redress or solution you are seeking:

Attach all relevant materials, documents and evidence you consider relevant to your Complaint

### Consent

To effectively manage your complaint, ORIA may need to contact a third party, including the person(s) or organisation(s) that you have complained about.

I, ..... [insert print your full name] permit ORIA to disclose my identity and the details of my complaint to the Subject of the complaint and other parties as permitted under the Complaints Resolution Policy.

Signed:..... Dated: ...../...../.....