

## COMPLAINT RESOLUTION – SUPERVISOR TOOL KIT

1. Purpose of this tool kit .....	1
2. What types of complaints can be raised under this procedure? .....	2
3. Selecting the best approach .....	2
4. Informal complaint resolution .....	2
4.1. Self-Resolution .....	2
4.2. Assisted Resolution .....	2
5. Formal Complaint Resolution .....	2
6. What is a reasonable outcome? .....	3
7. Interventions to resolve the complaint.....	3
8. How is confidentiality managed? .....	3
9. Choice of Investigator .....	3
10. Responsibility for resolving the complaint .....	3
11. Can a complaint be closed if it is not resolved? .....	4
12. If the complainant is not satisfied, is there an appeal or review?.....	4
13. Will the University take direct action without a complaint being raised?.....	4
14. Who can provide help?.....	4
15. How long will the complaint resolution process take?.....	4
16. Must the complainant use the Formal Complaint Resolution Template? .....	4
17. What other resources are available to support the process.....	4
Appendix A: Complaint Resolution Decision Matrix.....	5
Appendix B: Complaint Resolution Flow-Chart.....	8
Appendix C: Formal Complaint Resolution Template (Staff Member).....	9
Appendix D: Formal Complaint Resolution Template – Initial Assessment.....	12
Appendix E: Formal Complaint Resolution Template - Investigation.....	13
Appendix F: Formal Complaint Resolution Template – Completion and Closure .....	14
Appendix G: Complaint Management Checklist (formal complaints).....	15

### 1. Purpose of this tool kit

Supervisors have responsibility to ensure that the work environment is a safe and collegial place to work.

This tool kit has been developed to support the Complaint Resolution (Staff) Procedure is designed to provide practical information, tools and templates to assist supervisors in managing and resolving complaints which are raised under the Complaint Resolution (Staff) Procedure. It should be read in conjunction with the [University of Adelaide Enterprise Agreement 2017-2021 \(as amended\)](#) and the [Behaviour and Conduct Policy](#).

Behaviour and Conduct Handbook	Draft Complaints Resolution – Supervisor Tool Kit	Effective Date:	Xx month xxxx	Version 1.0
Authorised by	Chief Operating Officer	Review Date:	Xx month xxxx	Page 1 of 17
Warning	This process is uncontrolled when printed. The current version of this document is available on the HR Website.			

## 2. What types of complaints can be raised under this procedure?

The University is committed to removing barriers to the reporting of complaints. The Complaint Resolution Procedure may be used to raise complaints about the inappropriate or unacceptable conduct of staff when undertaking, representing or involved in University activities and/or with other members of the University community.

Complaints can include unfair treatment, discrimination, harassment, victimisation and bullying, interpersonal conflict, or other actions of staff that impact on the ability of individuals and/or teams to work effectively or productively.

Serious matters, that may amount to an allegation of misconduct, serious misconduct, research misconduct, fraud or corruption are not appropriate for resolution under the Complaint Resolution (Staff) Procedure and should instead be referred by the supervisor for action under the University's Enterprise Agreement (as amended), or the relevant policy. Protected disclosures are managed under the [University's Whistleblower Policy](#). Criminal or unlawful conduct should be notified to the Police or the [Office of Public Integrity \(OPI\)](#).

## 3. Selecting the best approach

Under the Complaint Resolution Procedure, supervisors may be called upon by staff for advice, to help them to resolve complaints informally themselves, or to provide assistance in resolving complaints informally or via a formal complaint resolution process.

Many complaints can be resolved informally, without requiring further intervention. Where an attempt to resolve a complaint informally is not successful, or if the complainant is not confident to resolve the complaint informally a formal complaint may be raised. The [complaint resolution decision matrix](#) may be useful to staff and their supervisors in identifying the best approach to resolve a complaint.

The University of Adelaide Complaint Resolution (Staff) Procedure is a flexible and interchangeable process. An unsuccessful attempt by a staff member to resolve a complaint through an informal process can proceed to a formal process. A complaint can be withdrawn by the complainant, or closed at any time.

## 4. Informal complaint resolution

### 4.1. Self-Resolution

Self-resolution is an effective approach to resolve less complex complaints. It requires the complainant (person making the complaint) to directly approach/bring the complaint to the attention of the respondent (person named in the complaint). The complainant has full control of the management of the complaint and need involve no one else in the process.

### 4.2. Assisted Resolution

If a complainant is not confident in raising the complaint directly with the respondent, or an attempt at self-resolution has not been successful, but the complainant does not feel that formal complaint resolution is required, they may attempt assisted resolution.

Assisted resolution requires the complainant to request their supervisor's assistance, in resolving their complaint. If the complaint is about their supervisor, they would seek assistance from their supervisor's supervisor. On the complainant's behalf, the supervisor can raise and attempt to resolve the complaint with the respondent.

## 5. Formal Complaint Resolution

A formal complaint resolution process is an appropriate approach to resolve complaints, where:

- The informal processes have not been successful;
- The parties are unable or unwilling to attempt resolving a complaint through an informal process;
- The matter is serious or sensitive; or
- The complainant is not comfortable in resolving the complaint themselves or with assistance.

Behaviour and Conduct Handbook	Draft Complaints Resolution – Supervisor Tool Kit	Effective Date:	Xx month xxxx	Version 1.0
Authorised by	Chief Operating Officer	Review Date:	Xx month xxxx	Page 2 of 17
Warning	This process is uncontrolled when printed. The current version of this document is available on the HR Website.			

If a staff member's attempt to resolve a complaint through assisted resolution, is not successful, the staff member may formalise their complaint in writing to their supervisor for resolution. A [template](#) is available to assist staff in detailing the particulars of their complaint.

On receipt of a formal complaint, the supervisor will notify their HR Advisor and acknowledge receipt of the complaint from the complainant. The supervisor may need to obtain additional information from the complainant, prior to deciding how to proceed. The supervisor should also ask what outcome the complainant requires, as it is important that the complainant has realistic expectations of the possible outcomes and/or remedies available to them.

The process may involve an assessment and/or investigation. The supervisor will assume management of the complaint, but will take into consideration the outcome wanted by the complainant.

HR Advisors are able to provide advice on the formal complaint resolution process and, where necessary, the selection of an appropriate investigator.

If the complaint is investigated, on receipt of the report from the investigator. The supervisor will decide on the resolution and communicate with the parties.

## 6. What is a reasonable outcome?

It is important to set realistic expectations for the complainant. Typically outcomes include:

- Putting a stop to behaviour that has caused offence;
- The complainant no longer feels aggrieved;
- Improved relationships between parties to the complaint;
- An apology;
- Return to a productive work environment.

## 7. Interventions to resolve the complaint

An intervention can be any action or remedy taken that resolves the complaint, most commonly it includes:

- Mediation
- Training
- Coaching
- Counselling support

## 8. How is confidentiality managed?

Certain matters must be handled confidentially including disclosures of sexual assault and sexual harassment. Confidential disclosures of wrongdoing, including public interest disclosures are covered under the University Whistleblower Policy. All other complaints will be managed confidentially, to the extent that it is reasonably practicable to do so. It is important that complainants are aware that some matters cannot be kept confidential. Parties to the complaint and witnesses must also be made aware of their responsibilities to maintain their own confidentiality along with that of other parties to the complaint.

## 9. Choice of Investigator

Where an investigation is required, the University may use an internal (staff member) or external investigator. When selecting an investigator, it is recommended that advice is sought from the HR Advisor. An internal investigator must be someone from a separate area of the University to either the complainant or respondent, of at least HEO8 or Level D, whose neutrality is not compromised.

## 10. Responsibility for resolving the complaint

The supervisor will monitor to ensure that any agreed actions have been taken and that there is no recurrence of the matter which gave rise to the complaint. They will then close the complaint and notify the parties.

Behaviour and Conduct Handbook	Draft Complaints Resolution – Supervisor Tool Kit	Effective Date:	Xx month xxxx	Version 1.0
Authorised by	Chief Operating Officer	Review Date:	Xx month xxxx	Page 3 of 17
Warning	This process is uncontrolled when printed. The current version of this document is available on the HR Website.			

### 11. Can a complaint be closed if it is not resolved?

The complainant can withdraw their complaint at any time and it will be closed.

The supervisor may close the complaint once resolved or at any time, if:

- The complaint is ill-founded;
- The complaint is unsubstantiated;
- The complaint is vexatious; frivolous or malicious; or
- There is no likelihood of a resolution between the parties.

If the complaint is found (during assessment and/or investigation) to be vexatious, frivolous or malicious, the complaint should be reported to the Executive Director Human Resources.

### 12. If the complainant is not satisfied, is there an appeal or review?

A complainant can only seek a review by an internal reviewer if the complaint relates to academic workload allocation under clause 8.3.9.4 of the University of Adelaide Enterprise Agreement (as amended).

### 13. Will the University take direct action without a complaint being raised?

The University may be compelled to take direct action to:

- Investigate a matter or report criminal or unlawful conduct, which may include investigating a complaint that the complainant has withdrawn;
- The University does not require a complaint to be raised to take direct action.

### 14. Who can provide help?

- Complainants and respondents can discuss any unfair treatment, including discrimination, sexual harassment and bullying with a Fair Treatment Contact Officers (FTCO). They are able to provide information about University Policies and Procedures, including the Complaint Resolution (Staff) Procedure;
- An HR Advisor can provide specific HR and complaints management advice and assistance to the parties to the complaint and the supervisor;
- The [University's Employee Assistance Program \(EAP\) providers](#) may be contacted for counselling support;
- Supervisors may also utilise the EAP provider's [Manager Assist service](#).

### 15. How long will the complaint resolution process take?

The duration of the process will depend on the completeness of the information provided, the complexity of the complaint and the processes required to resolve it. The university aims to effectively manage all complaints in a timely manner.

### 16. Must the complainant use the Formal Complaint Resolution Template?

To raise a formal complaint, it must be put in writing. This can take the form of a letter or email correspondence or by using the section 1 – 4 of the [template](#) provided.

Even if an individual chooses not to use the [template](#), it is a useful guide to complainants in detailing the particulars of the complaint.

Similarly, it is recommended that supervisors who have responsibility for attempting to resolve complaints use [section 5 – 8 of the template](#) provided.

### 17. What other resources are available to support the process

A selection of standardised correspondence is available to support this process. To obtain letter templates contact your HR Advisor.

A [Complaint Management Checklist](#) for supervisors is included at appendix G within this toolkit.

Behaviour and Conduct Handbook	Draft Complaints Resolution – Supervisor Tool Kit	Effective Date:	Xx month xxxx	Version 1.0
Authorised by	Chief Operating Officer	Review Date:	Xx month xxxx	Page 4 of 17
Warning	This process is uncontrolled when printed. The current version of this document is available on the HR Website.			

## Appendix A: Complaint Resolution Decision Matrix

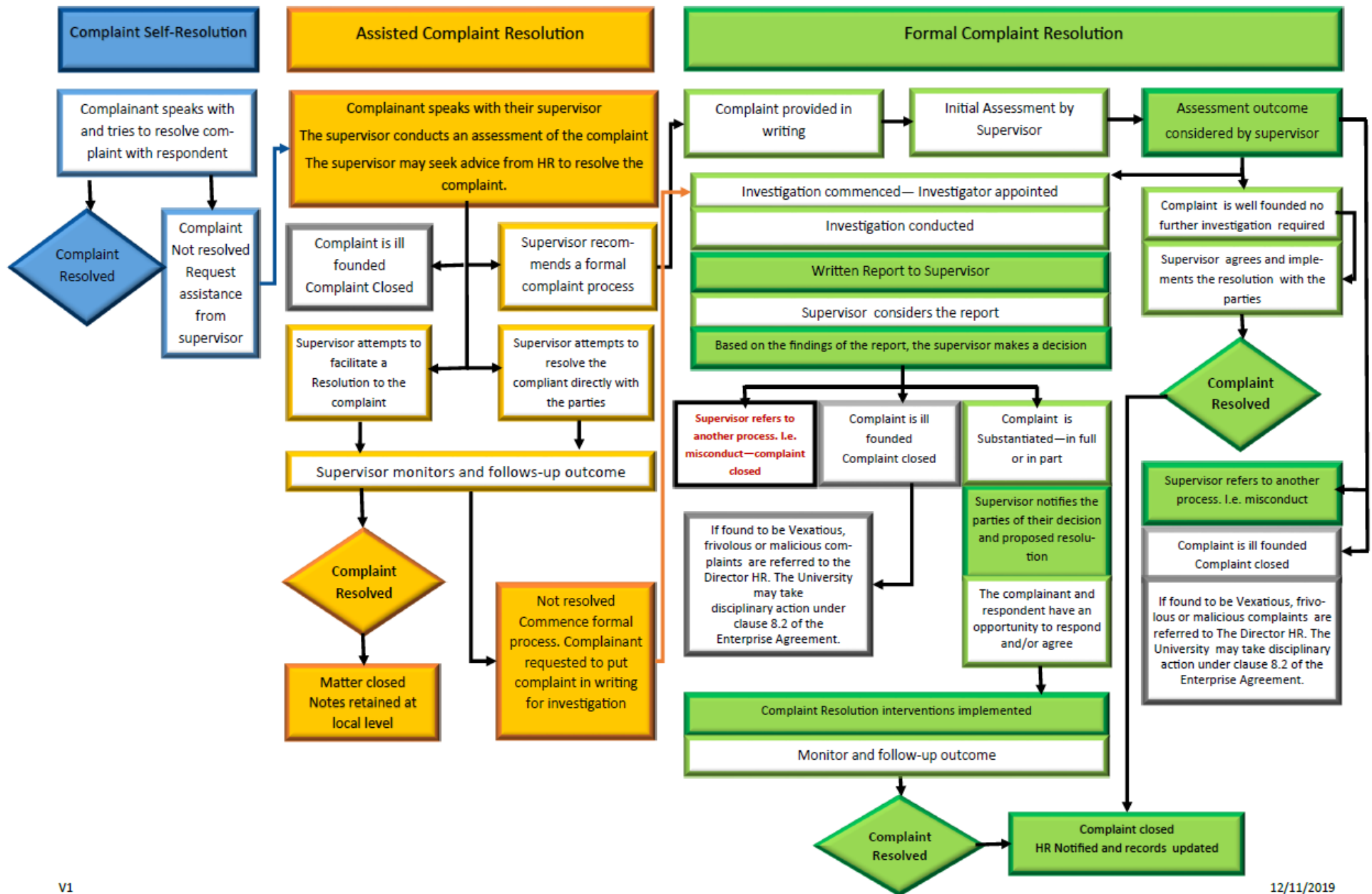
Question	Informal Processes		Formal Process
	Self-Resolution	Assisted-Resolution	Formal Complaint
<b>Does the complainant attempt to resolve the complaint themselves?</b>	Yes	Yes, but with assistance from their supervisor.	No.
<b>Who can provide assistance in resolving the complaint?</b>	Advice can be sought from <a href="#">FTCO</a> on any policy or procedure. An <a href="#">HR Advisor</a> can provide specific information prior to attempting self-resolution)	An HR Advisor can provide specific advice prior to attempting assisted resolution. Supervisor can assist in resolving the complaint on request	The supervisor or Head of School/Branch manages the complaint resolution process Information about the process is available from <a href="#">FTCO</a> ; or Confidential advice from <a href="#">HR Advisor</a> ; <a href="#">EAP Counselling service</a> .
<b>Does the complainant have a say in how the complaint is resolved and what the outcome is?</b>	Yes, full control of the resolution process (subject to cooperation between the parties).	Yes, your supervisor will ask what outcome you want and will try to resolve the complaint according to the request.	Yes, The complainant will be asked what outcome they want, however, their supervisor will control the process and/or conduct an investigation and/or take the most effective approach to resolve the complaint.  The parties to the complaint will be able to respond and/or agree to the recommendation of the supervisor
<b>Can the complainant and respondent access information, advice and support?</b>	Yes, the complainant and respondent can talk to a <a href="#">Fair Treatment Contact Officer</a> , or their <a href="#">HR Advisor</a> . The <a href="#">University's EAP provider</a> can be contacted for counselling support.	Yes, the complainant and respondent can talk to a <a href="#">Fair Treatment Contact Officer</a> , or their <a href="#">HR Advisor</a> . The <a href="#">University's EAP provider</a> can be contacted for counselling support.	Yes, the complainant and respondent can talk to a <a href="#">Fair Treatment Contact Officer</a> , or their <a href="#">HR Advisor</a> . All parties to a complaint can also have a support person at any stage in the formal complaint resolution process. The <a href="#">University's EAP provider</a> can be contacted for counselling support.
<b>I consider the complaint is serious, sensitive or complex, is this process suitable?</b>	No. Generally self-resolution is best suited to simple and straight forward complaints.	You may elect to try to resolve a more complex situation with the assistance of your supervisor.	Yes, the formal complaint resolution process is the most effective process for complex complaints.  Sometimes matters are raised through the complaint process, but due to their seriousness and/or sensitivity must be managed under a different process. E.g. misconduct, research misconduct. Such matters will be referred to Human Resources and /or the relevant area and managed under the relevant process.  Allegations of criminal or illegal conduct should be notified to the Police, suspicion of maladministration, should be reported to ICAC.
<b>Can I raise a complaint with an external agency e.g. Police, as well as, or instead of following the University Procedure?</b>	Yes, you can. Whilst the University encourages staff to try to resolve complaints through this procedure in the first instance, complaints may be raised with external agencies at any time. If an external agency is engaged, or a matter is under investigation by an external agency, any process under this procedure will be paused.		
<b>Can complaint resolution be attempted in more than one process?</b>	Yes, Self-resolution is a first step and is most suited to simple complaints	Yes, assisted resolution is ideal if the complainant is not confident in approaching the respondent, or if the	Yes, if a complaint is not resolved in an informal process, it can be raised as a formal complaint.

Question	Informal Processes		Formal Process
	Self-Resolution	Assisted-Resolution	Formal Complaint
		complainant is unable to resolve the complaint through self-resolution.	If the complaint is complex, serious, or requires investigation, then the formal process is appropriate.
<b>Is the complaint put in writing?</b>	No	No	Yes, must be made in writing to the supervisor. A <a href="#">template</a> is available to assist you in formalising the complaint in writing.
<b>How long after the event can a complaint be raised?</b>	Complaints should be addressed as soon as possible after the event/incident that gave rise to the complaint	Complaints should be raised as soon as possible and not more than 12 months after the event/incident that gave rise to the complaint.	Within 12 months of the event/incident that gave rise to the complaint. Only in extenuating circumstances can an extension be given.
<b>Will the complaint be investigated, what is the process and how long will it take?</b>	No	The supervisor will assess the circumstances, facts and evidence, but will not undertake a full investigation	A formal complaint will be assessed and may be investigated. The duration of any investigation, will depend on the complexity, availability of information, time taken to gather facts and/or evidence and/or interview any witnesses. The respondent will have an opportunity to provide their own account of the matter and respond to the complaint. At the conclusion of an investigation, the supervisor will be provided with a report of the investigation the investigator's findings and recommended actions.
<b>Who makes a decision about the actions to be taken</b>	N/A	Supervisor	The supervisor, or supervisor's supervisor, who is responsible for the complaint will recommend a resolution and seek agreement from the parties. The parties to the complaint will be able to respond and/or agree to the recommendation of the supervisor
<b>What approaches may be used to resolve the complaint?</b>	Usually resolved through discussion and agreement between the parties	The supervisor may try to resolve the complaint by discussing with the parties, either together or separately; or The supervisor may present complaint resolution options to the parties; or The supervisor may recommend or direct (as appropriate) staff to cease or modify their behaviour; and/or The respondent may be asked to apologise	A variety of complaint resolution methods (interventions) may be used to resolve the complaint and return to a productive work environment. Common examples include: <ul style="list-style-type: none"> <li>- Mediation</li> <li>- Training</li> <li>- Coaching</li> <li>- An alternate complaint resolution process</li> </ul>
<b>Can the complainant and/or respondent be directed to provide information, or participate in mediation or other</b>	The complainant and respondent aim to reach a resolution together.	The supervisor, who is assisting may ask you to provide information and/or participate in an intervention.	Yes, the person responsible for the complaint can (where appropriate) direct the parties to provide information and/or participate in interventions in order to understand and resolve the complaint.

Question	Informal Processes		Formal Process
	Self-Resolution	Assisted-Resolution	Formal Complaint
<b>interventions to resolve the complaint?</b>			
<b>After the intervention(s), how will I know that the complaint has been resolved and the problem will not continue?</b>	The behaviour or conduct that has caused concern will stop.	The supervisor and complainant will be satisfied that the behaviour or conduct that has caused concern has ceased.	The supervisor or supervisor's supervisor will monitor to ensure there is no recurrence. Only when they are satisfied that the complaint is resolved they will close the complaint.
<b>If a complaint is found to be vexatious or malicious, what happens?</b>	N/A	N/A	Vexatious or malicious complaints will be reported to the Executive Director, Human Resources. The University may take action against the complainant under clause 8.2 of the University of Adelaide Enterprise Agreement (as amended).
<b>Is my complaint handled confidentially?</b>	N/A The complainant will attempt to resolve the complaint themselves Parties to the complaint should maintain their own and the confidentiality of others and should not discuss the complaint.	Where practicable, the complaint will be handled confidentially and sensitively by the supervisor. Parties to a complaint are also expected to maintain their own and others' identity and should not discuss the complaint.	In so far as is reasonably practicable, the complaint will be handled confidentially and sensitively, understanding that in the course of investigation and/or resolution, it may be impossible to maintain full confidentiality. Parties to a complaint have a responsibility to maintain their own and others' identity and should not discuss the complaint except to participate in the course of the assessment, investigation and/or interventions.
<b>What if the complaint is not resolved, is there something else I can do?</b>	Yes, you could try assisted resolution, or formal complaint resolution.	Yes, if unsuccessful in resolving the complaint, it may be appropriate to resolve it through a formal process.	If a complaint is unable to be resolved formally, or is unsubstantiated the complaint will be closed. Unless the complaint is a grievance about workload allocation under clause 5.4.6.2 of the <a href="#">Enterprise Agreement</a> , there is no avenue for review.
<b>Will the parties be informed if a complaint is closed because it is unsubstantiated, or unable to be resolved?</b>	N/A	Yes, notified by the supervisor.	Yes, the complainant and respondent will be notified in writing
<b>Can I withdraw my complaint?</b>	N/A	Yes	Yes, at any time you can withdraw a complaint. The University may take direct action to investigate a matter or report criminal or unlawful conduct, even if the complaint is withdrawn.
<b>Are records kept of the complaint</b>	No record is maintained by the University.	Yes, at local level by the supervisor	Yes a record is retained of the complaint and all correspondence by HR



**Appendix B: Complaint Resolution Flow-Chart**



Behaviour and Conduct Handbook	Draft Complaints Resolution – Supervisor Tool Kit	Effective Date:	Xx month xxxx	Version 1.0
Authorised by	Chief Operating Officer	Review Date:	Xx month xxxx	Page 8 of 17
Warning	This process is uncontrolled when printed. The current version of this document is available on the HR Website.			



**Appendix C: Formal Complaint Resolution Template (Staff Member)****COMPLAINT RESOLUTION TEMPLATE (STAFF)**

To be completed by staff who wish to make a Formal Complaint to their supervisor under the Complaint Resolution (Staff) Procedure.

The Complaint Resolution Procedure allows the University to deal with complaints raised about other staff members, or matters that adversely affect the staff member's ability to work productively in a positive work environment including complaints relating to unlawful discrimination, harassment, victimisation and bullying.

**Before you complete this form:**

- Consider your options to resolve the complaint by reviewing the [Complaint Decision Matrix](#). Complaints can be resolved informally through self-resolution, by an assisted-resolution process, or by the formal process;
- Read the Complaint Resolution (Staff) Procedure and this form in full so that you understand what you are required to provide to raise a complaint formally;
- This form should not be used to raise complaints under the [Whistleblower Policy](#);
- If you have already tried to resolve the complaint yourself or with the support of your supervisor and are now proceeding to a formal complaint resolution process, you should provide details in the space provided at section 3 on this form;
- Complete pages 1 – 3 of the form in-full, providing all the information as available and required. If a particular field in the form is not relevant mark N/A;
- The quality and completeness of the information and/or evidence you provide to your Supervisor will enable them to deal with your complaint as promptly and effectively as possible.

To allow for the timely resolution of your complaint, provide pages 1 – 3 of this form to your supervisor, for actioning. If the complaint is about your supervisor, provide this form to your supervisor's supervisor

**Note: Complaints should be made within 12 months of the event or incident occurring, which gave rise to the complaint, unless extenuating circumstances exist and there is a compelling reason to proceed.**

**SECTION 1. GENERAL INFORMATION**

<b>Date form submitted</b>	Click or tap to enter a date.		
<b>Name of Staff Member (making complaint) Complainant:</b>			
<b>Staff ID Number:</b>	axxxxxxx		
<b>Position Title:</b>			
<b>Organisational Unit:</b>			
<b>School/Branch:</b>			
<b>Work Location:</b>			
<b>Name of Supervisor:</b>			
<b>Preferred method of contact</b>	Phone <input type="checkbox"/>	Number:	
	E-mail <input type="checkbox"/>	E-mail Address:	
	Other <input type="checkbox"/>		

Behaviour and Conduct Handbook	Draft Complaints Resolution – Supervisor Tool Kit	Effective Date:	Xx month xxxx	Version 1.0
Authorised by	Chief Operating Officer	Review Date:	Xx month xxxx	Page 9 of 17
Warning	This process is uncontrolled when printed. The current version of this document is available on the HR Website.			

**SECTION 2. DETAILS OF THE COMPLAINT**

The date that the event occurred, action or matter arose

**Detail the complaint:**  
 Include details of the incident/action that led to you raising this concern.  
 Please provide as much relevant detail as possible, including dates, times and events in chronological order.  
 If there are multiple matters, list each separately. If you require additional space, you may attach an additional page to this template.

Name of person whom the complaint is about (where appropriate)  
 Respondent:

Did anyone else witness the events that led to this complaint?

Yes  No   
 Name(s): .....

Do you have any evidence of what has occurred?

Yes  (Attach a copy to this document)  
 No

**SECTION 3. INFORMAL RESOLUTION**

**Self-Resolution**  
 Have you tried to resolve the complaint informally?

Yes   
 No

**Assisted-Resolution**  
 Did you seek the support of your supervisor, or another person to help you to resolve your complaint?

Yes   
 No

When did you or your supervisor try to resolve the matter?

Date: DD/MM/YY

Detail what you and/or your supervisor did to try to resolve the problem informally

In your opinion, what stopped the matter from being resolved informally?

## SECTION 4. RESOLUTION SOUGHT

Describe the outcome or remedy that you are seeking (what you want).

Examples:

I want the respondent to stop or change the behaviour that gave rise to this complaint.

I want the respondent to understand why I am aggrieved.

I want to be able to enjoy coming to work.

I want to resume a good relationship with the respondent.

I would like the respondent to apologise for.....

Is there anything else you would like your supervisor to consider in resolving this complaint?

Are you willing to participate in mediation or another process to resolve the complaint?

Yes   
No

Are you prepared to meet with and provide further information to an investigator (if required)?

Yes   
No

Signature of complainant

Date:

Click or tap to enter a date.

Behaviour and Conduct Handbook	Draft Complaints Resolution – Supervisor Tool Kit	Effective Date:	Xx month xxxx	Version 1.0
Authorised by	Chief Operating Officer	Review Date:	Xx month xxxx	Page 11 of 17
Warning	This process is uncontrolled when printed. The current version of this document is available on the HR Website.			

### Appendix D: Formal Complaint Resolution Template – Initial Assessment

SECTION 5. INITIAL ASSESSMENT			
<p><b>Supervisor to complete</b></p> <p>Outline the details of the initial assessment of the complaint or attach a report to this form.</p>			
<p><b>Is there reason to investigate further</b></p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>		
<p><b>Outline the reasons why it is/is not necessary to investigate further</b></p>			
<p><b>Supervisor Name</b></p>		<p><b>Date</b></p>	<p>Click or tap to enter a date.</p>

**Appendix E: Formal Complaint Resolution Template - Investigation**

SECTION 6. INVESTIGATION			
<p><b>Investigator to complete</b> Outline the details of the complaint Or attach the detailed Investigation Report to this form</p>			
<p><b>Details of the Investigation:</b></p> <ul style="list-style-type: none"> <li>• Information gathered</li> <li>• Interviews with parties to the complaint and/or witnesses</li> </ul>			
<p><b>Is the complaint founded?</b></p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>		
<p><b>Outline your recommendations to resolve the complaint</b></p>			
<b>Investigator Name</b>		<b>Date</b>	Click or tap to enter a date.

### Appendix F: Formal Complaint Resolution Template – Completion and Closure

SECTION 7. RESOLUTION			
<b>Supervisor to complete</b> Outline the resolution to the complaint; and Any proposed actions /interventions taken to resolve the complaint; and Any further action or monitoring that you will undertake to resolve the complaint.			
<b>Is the supervisor satisfied that the complaint has been resolved</b>	Yes <input type="checkbox"/> No <input type="checkbox"/>	<b>If the complaint has not been satisfactorily resolved, are you going to make a further attempt to resolve the complaint</b>	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Does this matter give rise to a matter in another process e.g. misconduct process.</b>	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, confirm that the matter has been referred to HR or relevant area.	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>If the complaint has not been resolved, and you do not intend to make a further attempt to resolve the complaint, what do you intend to do?</b>	<input type="checkbox"/> Close the complaint as it is ill founded <input type="checkbox"/> Close the complaint as there is no reasonable resolution available <input type="checkbox"/> Refer the matter to HR as the complaint is vexatious, malicious or frivolous <input type="checkbox"/> Monitor the situation <input type="checkbox"/> Implement an alternate solution <input type="checkbox"/> Notify the complainant that the complaint cannot be resolved and will be closed with no further action.		
<b>Once the complaint is resolved or closed, the details must be referred to the HR Advisor for recording</b>	<input type="checkbox"/> I have notified HR that the complaint has been resolved <input type="checkbox"/> I have notified HR that the complaint has not been able to be resolved and has been closed.		
<b>Supervisor Name</b>		<b>Date</b>	Click or tap to enter a date.
SECTION 8. CLOSURE OF THE COMPLAINT			
<b>HR Advisor to complete</b>	HR will follow-up to ensure that: <ul style="list-style-type: none"> <li><input type="checkbox"/> The complainant has been notified that the complaint has been resolved; or</li> <li><input type="checkbox"/> The complainant has been notified that the complaint has been closed; or</li> <li><input type="checkbox"/> The matter has referred to the Executive Director Human Resources as the complaint is vexatious or malicious; and</li> <li><input type="checkbox"/> A copy of all documentation in relation to the formal complaint has been saved.</li> </ul>		
<b>HR Advisor Name</b>		<b>Date</b>	Click or tap to enter a date.

<b>Appendix G: Complaint Management Checklist (formal complaints)</b>					
<b>New Complaint Received</b>	<b>Responsibility</b>	<b>Completed</b>	<b>Date</b>	<b>Comments</b>	
<b>Formal complaint received in writing</b>	Supervisor	<input type="checkbox"/>	Click or tap to enter a date.		
<b>HR Advisor notified of new complaint</b>	Supervisor	<input type="checkbox"/>	Click or tap to enter a date.		
<b>HPE File created and copy of complaint filed</b>	HR Advisor	<input type="checkbox"/>	Click or tap to enter a date.		
<b>Formal complaint acknowledged (letter L01C by email)</b>	Supervisor	<input type="checkbox"/>	Click or tap to enter a date.		
<b>Copy of acknowledgement letter filed</b>	HR Advisor	<input type="checkbox"/>	Click or tap to enter a date.		
<b>Initial Assessment of the complaint undertaken by the supervisor to determine if further enquiry is warranted</b>					
<b>If the complaint is substantiated but no further enquiry is required</b>	<b>Completed</b>	<b>If the complaint requires further investigation</b>	<b>Completed</b>	<b>If the complaint lacks substance</b>	<b>Completed</b>
Notify HR Advisor of decision	<input type="checkbox"/>	Notify HR Advisor of decision	<input type="checkbox"/>	Notify HR Advisor of decision	<input type="checkbox"/>
Notify the parties of the outcome of the assessment (outcome letter L06OA)	<input type="checkbox"/>	Appoint an investigator (in conjunction with HR Advisor)	<input type="checkbox"/>	Notify the parties of the unsubstantiated outcome and closure of the complaint (closure letter L08CLS)	<input type="checkbox"/>
Make recommendation to the parties	<input type="checkbox"/>	Notify the parties of the appointment of an investigator and intention to undertake investigation (letter L07IC L02R)	<input type="checkbox"/>	Complaint is closed	<input type="checkbox"/>
Provide the parties with an opportunity to respond to the recommendation	<input type="checkbox"/>	Investigation commences	<input type="checkbox"/>	A copy of the assessment and all correspondence to the HR Advisor for filing	<input type="checkbox"/>
Implement agreed interventions with the parties and monitor	<input type="checkbox"/>	A copy of all documentation (to date) sent to HR Advisor for filing	<input type="checkbox"/>	HR Advisor saves all documentation, including this form to HPE file	<input type="checkbox"/>
Close the complaint and notify the parties (closure L05CL letter)	<input type="checkbox"/>	HR Advisor saves all documentation to the HPE file	<input type="checkbox"/>	No further action is taken	
The HR Advisor saves a copy of the assessment and all correspondence and documentation, including this form to the HPE file	<input type="checkbox"/>	Supervisor awaits report from the investigator			



Investigation Task/Action	Responsibility	Completed	Date	Comments
<b>Investigator provides a report of their findings, detailing:</b> <ul style="list-style-type: none"> <li>The investigation conducted</li> <li>Whether the complaint is substantiated in part or in full</li> <li>Recommendations for appropriate actions</li> <li>If the complaint is unsubstantiated and/or</li> <li>If the complaint is vexatious, malicious or frivolous</li> </ul>	Investigator	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Click or tap to enter a date.	
Consider findings of the investigators report	Supervisor	<input type="checkbox"/>		
If Substantiated	Responsibility	Completed	Date	Comments
Make a decision on the preferred approach to resolve the complaint	Supervisor	<input type="checkbox"/>	Click or tap to enter a date.	
Notify the complainant and respondent (in writing LO3IS), detailing the findings, decision and proposed resolution interventions/remedy, providing an opportunity for the parties to respond.	Supervisor	<input type="checkbox"/>	Click or tap to enter a date.	
Parties to the complaint respond (no response is taken as agreement with the proposed method to resolve the complaint)	Complainant	<input type="checkbox"/>	Click or tap to enter a date.	
	Respondent	<input type="checkbox"/>	Click or tap to enter a date.	
A copy of all correspondence, including correspondence from the parties forwarded to HR for saving to file	Supervisor	<input type="checkbox"/>	Click or tap to enter a date.	
All documentation saved to the HPE file	HR Advisor	<input type="checkbox"/>	Click or tap to enter a date.	
If not substantiated/ill founded	Responsibility	Completed	Date	Comments
Notify the parties (in writing L04US) of the finding of the investigation and intention to close the complaint	Supervisor	<input type="checkbox"/>	Click or tap to enter a date.	
If the complaint is found to be vexatious, malicious or frivolous, provide a copy of the report to the HR Advisor for consideration of the Executive Director Human Resources.	Supervisor	<input type="checkbox"/>	Click or tap to enter a date.	
Close the complaint and forward all documentation to the HR Advisor	Supervisor	<input type="checkbox"/>	Click or tap to enter a date.	
Documentation and correspondence associated with the complaint is saved to the HPE file.	HR Advisor	<input type="checkbox"/>	Click or tap to enter a date.	

Complaint Resolution	Responsibility	Completed	Date	Comments
The supervisor will initiate any actions to be taken to resolve the complaint.	Supervisor	<input type="checkbox"/>	Click or tap to enter a date.	
Ensure that the agreed interventions have been taken	Supervisor	<input type="checkbox"/>	Click or tap to enter a date.	
Ensure that there has been no recurrence of the matter/issue that gave rise to the complaint	Supervisor	<input type="checkbox"/>	Click or tap to enter a date.	
Advise the parties that the complaint is closed (in writing L05CL)	Supervisor	<input type="checkbox"/>	Click or tap to enter a date.	
Provide a copy of all documentation and correspondence to the HR Advisor	Supervisor	<input type="checkbox"/>	Click or tap to enter a date.	
A copy of all documentation/correspondence is saved to the HPE file	HR Advisor	<input type="checkbox"/>	Click or tap to enter a date.	
Completed by Supervisor Name	Signature		Date	Click or tap to enter a date.