



CEO	the Chief Executive Officer of the City, being also the Complaints Officer in accordance with section 5.120 of the <i>Local Government Act 1995</i> and the principal officer of the City which is the notifying authority for the purposes of section 28 of the <i>Corruption and Crime Act 2003</i>
employee	a City employee of any category, including permanent, full and part-time staff, temporary staff, volunteers, contractors and persons under work experience arrangements

### 3. Principles

Principles underlying this policy are:

- commitment to providing quality services to the City's ratepayers;
- compliance with the local government legislative framework;
- respect and sensitivity towards the needs of the City's ratepayers;
- transparency and accountability in the delivery of services; and
- maintenance of confidentiality and respect for natural justice principles.

### 4. Complaints Processing

- (1) The City shall receive, investigate and undertake corrective action (if required) in response to a complaint depending on its type.
- (2) Complaints shall be dealt with in accordance with the City's procedures as follows:
  - (a) complaints about service and operations shall be dealt with by heads of the City's relevant business units following whenever possible the Complaints Management Procedures;
  - (b) complaints about breach of discipline shall be dealt with under the relevant discipline policy and procedures and provisions of any applicable industrial relations instrument; and
  - (c) complaints about breach of Rules of Conduct shall be dealt with in accordance with the *Local Government (Rules of Conduct) Regulations 2007* by the City's Complaints Officer.
- (3) In establishing the order in which complaints will be attended to, consideration will be given to the urgency of each complaint in terms of public safety implications, seriousness, frequency of occurrence, severity and the need and possibility for immediate action.

### 5. Employees Responsible

- (1) For the purposes of subclauses 4(1) and 4(2) of this policy, and consistent with section 5.44 of the *Local Government Act 1995*, the CEO may exercise the role of complaints management officer himself or herself or appoint a management representative as the City officer primarily responsible for complaints resolution.
- (2) For the purposes of subclause 4(3) and consistent with section 5.19 of the *Local Government Act 1995*, the CEO is the complaints officer for the purposes Complaints about breach of Rules of Conduct and may designate a senior employee as Complaints Officer.

### 6. Timeliness Standards

- (1) All complaints submitted to the City must be acknowledged within 3 working days.
- (2) All complaints submitted to the City must be responded to within 10 working days, either with a final solution or, if the nature of the complaint requires a longer period to resolve, with an interim reply outlining the reason for the delay.

### 7. Accessibility Standards

- (1) Complaints related documentation, including the Code of Conduct and guidance documents on how to lodge a complaint, must be made readily available to ratepayers and other members of the public in paper and electronic format.
- (2) Provision must be made to accommodate persons with disabilities wishing to lodge a complaint.

### 8. Right of Review

- (1) Complainants dissatisfied with the way in which their complaint about a service, or operation, or breach of discipline was handled by the City may apply to the CEO for a review of the complaint handling process.

### 9. Unreasonable, Frivolous or Vexatious Complaints

- (1) The City strives to provide ratepayers with high quality services, delivered equitably to all ratepayers and residents. Diversion of substantial resources to deal with unreasonable, frivolous or vexatious complaints is not in the interests of the community and cannot be justified.

- (2) Consistent with the views of oversight agencies such as the Ombudsman, the decision to restrict, withhold or withdraw the provision of service to a complainant will be taken if, and only if, the following conditions are met:
- (a) a review of the handling of the complaint indicates that the present policy and associated procedures were respected in all material particulars;
  - (b) all elements of the complaint have been adequately addressed in accordance with their merit;
  - (c) the behaviour of the complainant became so habitual, obsessive or intimidating that it constitutes an unreasonable demand on City's resources;
  - (d) the complainant was advised of other avenues for redress such as appealing to oversight agencies eg the Ombudsman; and
  - (e) the CEO authorised the decision to restrict, withhold or withdraw the provision of complaint services.

**10. Annual Review of Complaints**

- (1) For the purposes of the City's annual complaints management review, the complaint management officer will compile a report to City management:
- (a) specifying the number and classification of all complaints received during that reporting cycle; and
  - (b) listing the results of an in-depth analysis of the systematic, recurring and single incident problems and trends and potentially the identification of underlying causes of complaints;
  - (c) containing quality indicators such as random sampling of complainants to gauge the level of ratepayer satisfaction with the management of complaints;
  - (d) providing the results of audits of the complaints management function;
  - (e) including recommendations to management regarding the adequacy of the complaints management system and potential improvements to be considered;
  - (f) recommending a set of complaints-related data and information to be included in the annual report;
  - (g) analysing internal and external factors likely to impact on the complaints management process (changes in legislation, oversight agencies' policies or community expectations);
  - (h) submitting to management any other information which may help identify opportunities to improve the efficiency and effectiveness of the City's complaints handling processes and procedures.

**GOVERNANCE REFERENCES**

<b>Statutory Compliance</b>	Local Government Act 1995 Corruption and Crime Commission Act 2003 Local Government (Rules of Conduct) regulations 2007 City of Canning Code of Conduct Corruption and Crime Commission Act 2003 Local Government (Rules of Conduct) regulations 2007 City of Canning Code of Conduct
<b>Process Links</b>	1. Annexure 1 – Complaint Submission Form 2. Annexure 2 – Complaint Escalation Form 3. Annexure 3 – Complaint Management Review Form 4. Annexure 4 – Complaint or Allegation Against City Employee 5. Annexure 5 – Quick Reference Table

**POLICY ADMINISTRATION**

Directorate		Officer Title	Authority to Approve
Corporate Services		Director Corporate Services	Council
Version	Decision Reference	Synopsis	Delegation No: 601
1	29/1/2013	New policy adopted	
2	24/4/2014	Policy redrafted and reformatted to new template	



## COMPLAINT SUBMISSION FORM

The City of Canning is dedicated to a fair and effective management of complaints, with due regard being given to the interests of the community we serve. The information submitted on this form will be assessed in accordance with the local government legislative framework, the City of Canning Code of Conduct and the Complaints Management Policy. Once your complaint has been assessed and resolved, you will be advised of the outcome of the complaint process and any action that the City might have taken or intends to take in response to your complaint. We endeavour to acknowledge receipt of your complaint within 3 working days and reply to your complaint within 10 working days from receiving the completed complaint submission form. Please note: the outcome of your complaint may depend on the quantity and quality of the information submitted.

### 1. CONTACT DETAILS (COMPLAINANT)

FULL NAME		Telephone	
RESIDENTIAL ADDRESS		Mobile	
POSTAL ADDRESS (IF DIFFERENT)		Email	

### 2. DETAILS OF THE COMPLAINT

*Please fill in as many as possible fields in the table below by providing answers to questions. If you have multiple complaints, please list each of them separately, and answer the questions for each of them.*

<b>What happened</b> (please include date of event if known)	2. What events or state of affairs is your complaint or allegation centred on (summary of events in sequence), and what were the actions of the person(s) involved in your complaint or allegation?
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ANNEXURE 1

<b>How did this impact you</b>	3. Were you, or are you, personally affected by the events or actions complained about? If so, how?
<b>Supporting evidence</b>	7. What relevant evidence, if any, can you provide to the City of Canning in order to establish the accuracy of the factual information provided above?
<b>Outcome sought</b>	8. What outcome are you pursuing by lodging this complaint?



**OFFICE OF THE CHIEF EXECUTIVE OFFICER  
COMPLAINT ESCALATION FORM**

Please fill in this complaint giving as much detail as you see fit. While some information required might appear to you as a duplication of the information the City already has, or should have, the escalation of your complaint implies an independent assessment of the circumstances of the complaint and the actions taken by City officers.

*Note: if you have multiple complaints, please list them all separately, and attempt to include for each of them the following information:*

<b>SUBJECT</b>	<b>SUGGESTED MINIMAL CONTENT</b> (you may add any information you believe would assist us in resolving your complaint)	<b>YOUR STATEMENTS</b>
<b>Background</b>	<ul style="list-style-type: none"> <li>• What is the number of your complaint (if known) or the approximate date it was lodged?</li> <li>• What is the business unit of the City the services of which (or lack thereof) are the basis of your complaint?</li> <li>• What are the names of officer(s) involved (if known)?</li> </ul>	
<b>Summary of events</b>	<ul style="list-style-type: none"> <li>• What were the events that gave rise to your complaint (in chronological order)?</li> </ul>	
<b>Attempts to seek relief or redress from the City</b>	<ul style="list-style-type: none"> <li>• When was the matter brought to the attention of the City and what was the outcome?</li> <li>• Where, if at all, do you believe City officers took a wrong decision or action?</li> </ul>	
<b>Adverse effect</b>	<ul style="list-style-type: none"> <li>• In what way were you, or are you, your neighbourhood, or the community, adversely affected by the above events and the actions of City officers (or lack thereof)?</li> </ul>	
<b>Remedial action</b>	<ul style="list-style-type: none"> <li>• What remedy would you suggest and/or what action would you expect that the City should take?</li> </ul>	



COMPLAINT NUMBER: \_\_\_\_\_

## COMPLAINT MANAGEMENT REVIEW FORM

### SECTION 1: COMPLAINT

#### COMPLAINANT DETAILS

<b>FULL NAME</b>		<b>PREFERRED TELEPHONE NUMBER</b>	
<b>RESIDENTIAL ADDRESS</b>		<b>EMAIL OR FAX</b>	

#### BRIEF DESCRIPTION OF THE SUBJECT AND CIRCUMSTANCES OF THE COMPLAINT

(to be filled by Governance Unit based on information provided by the complainant)

ANNEXURE 3

**SECTION 2: HANDLING OF COMPLAINT**

WHO DEALT WITH THE COMPLAINT

BUSINESS AREA	CITY OFFICERS INVOLVED
1.	
2.	

WHAT ACTIONS HAVE BEEN TAKEN

IDENTIFIED ISSUE	ACTION UNDERTAKEN IN RESPONSE
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	

COMMENTS IN RESPONSE TO THE CIRCUMSTANCES OF COMPLAINT AND THE COMPLAINANT'S STATEMENTS OR ACTIONS



**SECTION 3: ASSESSMENT OF COMPLAINT**

**ASSESSMENT OF COMPLAINT MANAGEMENT PROCESS**

**GOVERNANCE UNIT RECOMMENDATIONS:**

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_

**APPROVED**

**NOT APPROVED**

CHIEF EXECUTIVE

CITY OF CANNING

COMPLAINT NUMBER: \_\_\_\_\_



## COMPLAINT OR ALLEGATION AGAINST CITY EMPLOYEE

### SECTION 1: COMPLAINT

(THIS SECTION MUST BE FILLED BY THE COMPLAINTS RECEIVING OFFICER)

#### COMPLAINANT DETAILS

<b>FULL NAME</b>		<b>PREFERRED TELEPHONE NUMBER</b>	
<b>RESIDENTIAL ADDRESS</b>		<b>EMAIL OR FAX</b>	

#### CITY OFFICER(S) COMPLAINED ABOUT

<b>NAME</b>	<b>POSITION HELD (IF KNOWN)</b>
1.	
2.	

#### BRIEF DESCRIPTION OF THE SUBJECT AND CIRCUMSTANCES OF THE COMPLAINT

**Please note: the outcome of your complaint may depend on the quantity and quality of the information submitted.**

ANNEXURE 4

**SECTION 2: RESPONSE OF THE OFFICER(S) COMPLAINED ABOUT**

(THIS SECTION MUST BE FILLED BY THE OFFICER(S) COMPLAINED ABOUT)

COMMENTS IN RESPONSE TO THE COMPLAINANT'S STATEMENTS

**SECTION 3: CONSIDERATION AND ACTION TAKEN BY IMMEDIATE SUPERVISOR**

(THIS SECTION MUST BE FILLED BY THE OFFICER'S IMMEDIATE SUPERVISOR)

CONSIDERATIONS BY IMMEDIATE SUPERVISOR

ACTIONS (IF ANY) RECOMMENDED OR UNDERTAKEN BY IMMEDIATE SUPERVISOR

**GOVERNANCE SECTION RECOMMENDATION:** Finalise     Escalate     Return to Supervisor     Date: \_\_\_\_\_



## CITY OF CANNING COMPLAINTS POLICY

## QUICK REFERENCE TABLE

<b>Nature of complaint</b>	<b>Times submitted</b>	<b>Form to be used</b>	<b>Who deals with the complaint</b>	<b>Approving authority</b>	<b>Required notification</b>
<b>Service or operations</b>	1x	Business area's own form or Annex 1	Business area concerned	Business area manager	Business area to email the Governance Section on completion
<b>Service or operations</b>	2x	Business area's own form or Annex 1	Business area concerned	Business area manager	Business area to email the Governance Section on completion
<b>Service or operations</b>	3x	Escalated complaint form in Annex 2	Governance Section in cooperation with Business area concerned	CEO	Governance Section to email business area on completion
<b>Service or operations</b>	4x or more	None	Governance unit	Governance Coordinator, reporting regularly to CEO	
<b>Review of complaint</b>		Complaint management review form in Annex 3	Governance unit in cooperation with Business area concerned	CEO on recommendation of the Governance Section	Business unit concerned
<b>Complaint or allegation against City Employee</b>		Complaint/Allegation against City employee form in Annex 4	Governance Section and the Manager of the relevant business area	Governance Section	CEO and HR if adverse findings against employee