

Section	Policy Manual Section 01.10	
Version/Date	5.0/October 2019	
History	Draft Policy prepared	5 February 2009
	Final Policy adopted	16 February 2009
	Draft Policy Prepared	14 February/21 March 2013
	Revised Policy adopted	13 October 2016
	Revised Policy	October 2019
Review Schedule	Three-yearly or as required	
Purpose	<i>The Complaints Policy outlines the procedures for making a formal complaint about the Trust, its staff, its services or any decision.</i>	

## 1.0 Objectives

- 1.1 The Complaints Policy and associated procedures are intended to ensure any complaints received about the work of the Trust are handled in a prompt and professional manner, resulting in a fair, common sense resolution.

## 2.0 Procedures

- 2.1 Often the quickest and most satisfactory way of dealing with complaints is for the person (the complainant) to deal directly with the staff member or Trustee (the subject) who provided the service which has given rise to the complaint. This gives the staff member or the Trustee and the person the opportunity to discuss the matter and to come to a quick resolution. It also enables both parties to understand the issues and assists in ensuring that mistakes are not repeated.
- 2.2 If the person does not feel satisfied with the response, then he or she should send a letter or e-mail providing as much detail as possible of the complaint to the Chief Executive. Upon receiving a written complaint, the Chief Executive will immediately notify the complainant in writing that the complaint has been received and will outline the investigative process and timeline.
- 2.3 The Chief Executive will inform in writing the person who is the subject of the complaint about the precise nature of the complaint. Unless there are good reasons for not doing so, the subject will receive a copy of the written complaint, which includes the identity of the complainant.
- 2.4 The Chief Executive will evaluate the complaint and, after appropriate consultation, will respond to it in writing within 1 month of receipt.
- 2.5 If the complainant is not happy with the Chief Executive's response to the complaint then he or she should advise the Chief Executive in writing. At this stage the complaint will be referred to the Trust Board for its formal consideration.

The Trust Board may undertake its own investigations and may ask to meet with the complainant, who may be represented by, or have support from, others. The Trust Board's investigations should be completed within 3 months of the request for consideration.

- 2.6 If the complaint is about the Chief Executive, then the complaint will be referred to the Chair and/or Deputy Chair, and then the Trust Board for its formal consideration under section 2.5, above.
- 2.7 If the complaint is about a Trustee or the Deputy Chair, then the complaint will be referred to the Chair, and then the Trust Board for its formal consideration under section 2.5, above.
- 2.8 If the complaint is about the Chair, then the complaint will be referred to the Deputy Chair, and then the Trust Board for its formal consideration under section 2.5, above.
- 2.9 The Trust Board's decision in relation to the complaint will be final, and the complainant and the subject(s) will be notified of this decision.
- 2.10 At all stages of this process the persons involved are to be treated with respect, and supported throughout the process. All steps will be taken by the Trust Board and its staff to expedite the fair and reasonable resolution of any complaints.
- 2.11 The Chief Executive shall keep a record of all written complaints and report on them to six monthly performance review meetings.

### 3.0 Fraudulent or other illegal activity

- 3.1 If the complainant is reporting a suspected fraudulent or other illegal activity, then the Trust's Fraud Identification and Response procedure will be followed which can be found in Appendix A of the Risk Management policy.

### 4.0 Related policies

- 4.1 This Complaints Policy forms part of the Trust Waikato Policy Manual and should be read in conjunction with the following related policies:

- Delegations of Authority
- Donations Policy
- Governance Manual
- Privacy Policy
- Risk Management
- Business Continuity

Policy	Complaints	
Version Control		
Draft	Draft Policy	?
1.0	Original Policy adopted/amended	?
2.0	Policy (updated) adopted	16 February 2009
3.0	Policy revised	Feb/March 2013
4.0	Policy revised	October 2016
5.0	Policy revised	October 2019
Review Schedule		
A	Three-yearly	2019