



Board Policy
Governance

Complaint Handling Policy

VERSION 1
Board approved

Sets out Fund SA's complaint management system for dealing with complaints from external parties



Version history

Version no.	Comment	Updated by	Pages	Date approved
1.0	Board approved	G Giannopoulos	6	14/11/2016

Administration

- Scan and save PDF copy of signed policy to <R:\Governance\Policy>
- File signed hard copy in FSA-3601
- Update policy master list <R:\Governance\Policy\Policy Masterlist.xlsx>

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1. Introduction

Department of the Premier and Cabinet (DPC) Circular 39: *Complaint Management in the South Australian Public Sector* requires all South Australian public sector agencies (i.e. including Funds SA) to establish and maintain an effective complaint management system.

Funds SA values feedback, in particular from its investors and other stakeholders, as a means of strengthening its processes and improving its relations. Funds SA is committed to treating complaints seriously and dealing with them promptly and fairly.

2. Definitions

- A **complaint** is an expression of dissatisfaction about a product, service or employee of Funds SA (including about its complaints handling process), by a person or organisation (including other public sector agencies) that is directly affected by the service or action.
- A **complainant** is any person, organisation, or their representative making a complaint.
- A **complaint management system** refers to the policies, procedures and systems used by Funds SA to manage the receipt, processing and outcome of complaints.

3. Objective

To set out Funds SA's complaint management system for dealing with complaints from external parties, along with the related roles and responsibilities, consistent with the principles in the *Australian/New Zealand Standard: Guidelines for Complaint Management in Organisations (AS/NZS 10002:2014)*.

4. Scope

This policy applies to all Funds SA employees (and contractors) who may receive, manage, investigate and respond to complaints.

Matters not considered applicable to this policy are:

- matters falling within the scope of Funds SA's client / outsourced service provider agreements
- internal workplace complaints
- disclosures made by Whistleblowers
- matters of an administrative appeal or other form of legal redress.

Superannuation Member complaints should be made with Super SA at http://www.supersa.sa.gov.au/contact_us/complaints or other relevant site.

Matters of corruption, misconduct and maladministration can be reported to the Independent Commissioner Against Corruption at <http://icac.sa.gov.au/>.

5. Related policies and procedures

- Information Privacy Policy
- Complaint Handling Procedure

6. Approach

- 6.1 Funds SA employees who receive a complaint in the normal course of their duties are encouraged to resolve the matter as soon as it arises. Equally, complainants are encouraged to resolve any matters arising with the Funds SA employee with whom they have been dealing.
- 6.2 In the event that a complaint cannot be resolved immediately, Funds SA will make available information about how to lodge a complaint on its website, including this policy. This will include by mail, email or online to the Funds SA Complaints Officer.
- 6.3 When the Complaints Officer receives a complaint, the Complaints Officer will acknowledge the receipt of the complaint within 3 business days and will advise the complainant of the complaint handling process that will be undertaken.
- 6.4 The complaint handling process will involve the following:
 - 6.4.1 Assessment – of the urgency, seriousness and complexity of the matter. This will determine the likely response timeframe of which the complainant will be advised. Every endeavour will be made to have the matter resolved and a response provided to the complainant within 28 days of a complaint being received.
 - 6.4.2 Investigation – will be planned and undertaken by the Complaints Officer fairly and impartially as soon as practicable once a complaint has been received.
 - 6.4.3 Resolution – a resolution of each complaint will be pursued. However, Funds SA recognises that in some instances this may not be possible.
 - 6.4.4 Response – a response shall be provided to the complainant which provides sufficient information about the process and information discovered in arriving at the resolution.
- 6.5 The Complaints Officer will record all complaints in the Funds SA Complaints Register and maintain adequate documentation in support of the complaint handling process.
- 6.6 Funds SA's Complaints Officer is the Executive Manager, Governance, Risk and Compliance. It is noted that if the complaint is in relation to the Chief Executive Officer (CEO), the matter will be assessed and, if appropriate, will be escalated to the Chairman of the Board. In the event that the complaint is in relation to the Executive Manager, Governance, Risk and Compliance, the matter will be automatically escalated for consideration to the CEO.
- 6.7 The complaint will be treated in confidence, on a need to know basis. It is noted that if a complaint is in relation to a particular Funds SA employee, the employee will be advised accordingly in order for relevant information to be discovered. Information received about the complainant will be treated in accordance with Funds SA's Information Privacy Policy.

- 6.8 A report summarising complaints and their resolution will be provided periodically to the CEO. If any trends are identified, Funds SA is committed to making improvements to its processes as required, including to the complaint handling process itself.
- 6.9 Where a complaint remains unresolved, or cannot be resolved to the satisfaction of the complainant, the complaint may be referred to an external body such as the Ombudsman SA.
- 6.10 Consistent with section 3.22 of DPC Circular 13: *Annual Reporting Requirements*, Funds SA's annual report will state how many and what valid complaints have been received.

7. Role and responsibilities

The Code of Ethics for the South Australian Public Sector requires all public sector employees to comply with the principles and values of public sector behaviour. In this regard, Funds SA employees are to exhibit the highest standards of professional conduct in undertaking their duties.

7.1 Board

The Board is responsible for ensuring Funds SA has a complaint management policy, and approving such.

The Chairman is responsible for ensuring any valid complaints relating to the Chief Executive Officer are dealt with in accordance with the complaint handling process.

7.2 Chief Executive Officer

The complaint handling process will involve the following:

- ensuring a complaints management system is efficiently and effectively implemented, including this policy
- encouraging an environment where feedback is valued
- encouraging an environment where complaints are handled promptly and fairly
- ensuring support and training is provided to employees handling complaints as appropriate
- ensuring complaints in relation to the complaints handling process are dealt with accordingly
- escalating, as considered appropriate, serious complaints to the Board

7.3 Executive Manager, Governance, Risk and Compliance (Complaints Officer)

The Executive Manager, Governance, Risk and Compliance is responsible for:

- ensuring the complaint management system is promulgated to all Funds SA employees and contractors (and in particular, those who deal with Funds SA's investors and other stakeholders on a regular basis)
- ensuring serious complaints are escalated promptly to the Chief Executive Officer
- periodically reporting a summary of complaints to the CEO
- maintaining the Funds SA Complaints Register

- communicating identified complaint trends to relevant senior managers together with proposed improvements
- ensuring relevant information is available to include in the Annual Report

7.4 Employees

Employees who receive a complaint are responsible for treating complaints in accordance with this policy. In particular, complainants will be treated with respect, in a professional manner and confidentially. Complaints must be assessed fairly and impartially. Where the complaint is not resolved immediately, the complaints handling process must be enacted. Assistance with the complaints handling process can be sought from the Complaints Officer.

8. Review

The Executive Manager, Governance, Risk and Compliance will review this policy every two years. Changes will be proposed following consultation with relevant employees and will be approved by the Board.

Next review due: November 2019

9. References

- *Australian/New Zealand Standard: Guidelines for Complaint Management in Organisations (AS/NZS 10002:2014)*
- *Independent Commissioner Against Corruption Act 2012*