



Complaint Handling Policy and Procedures

Complaint Handling Policy

The Institute of Internal Auditors – Australia (IIA-Australia) views complaints as an opportunity to learn and improve for the future, as well as a chance to put things right for the person who has made the complaint. This policy relates to complaints made about a service provided or action taken by staff of the IIA-Australia.

Our policy is:

- To provide a fair complaints procedure which is clear and easy to use for anyone wishing to make a complaint
- To publicise the existence of our complaints procedure so that people know how to contact us to make a complaint
- To make sure everyone at the IIA-Australia knows what to do if a complaint is received
- To make sure all complaints are investigated fairly and in a timely way
- To respond as quickly as possible and generally within one week
- To make sure that complaints are, wherever possible, resolved and that relationships are repaired
- To gather information which helps us to improve what we do

Definition of a Complaint

A complaint is any expression of dissatisfaction, whether justified or not, about any aspect of the IIA-Australia.

Where Complaints Come From

Complaints may come from any person or organisation who has a legitimate interest in the IIA-Australia. A complaint can be received verbally, by phone, by email, via social media or conference app, or in writing.

This policy does not cover complaints from staff, who should use the IIA-Australia's Grievance Handling Policy.

Complaints against members are handled under the *Complaint and Disciplinary Policy*, available on the [website](#).

Complaints from students are handled under the Graduate Certificate in Internal Auditing Grievance Policy.

Confidentiality

All complaint information will be handled sensitively, telling only those who need to know and following any relevant data protection requirements.

Responsibility

Overall responsibility for this policy and its implementation lies with the Chief Executive Officer.

Reporting

The Chief Executive Officer will report any complaints made (and their resolution) to the Audit & Risk Committee and the Board, with the Executive Committee informed as necessary.

Review

This policy is reviewed annually and updated as required.

Complaints Procedure of the IIA-Australia

Contact Details for Complaints:

Written complaints may be sent to the IIA-Australia at PO Box A2311, Sydney South NSW 1235 or by e-mail at governance@iia.org.au

Verbal complaints may be made by phone to 02 9267 9155 or 1800 236 366 (if outside Sydney) or in person to any of the IIA-Australia's staff at Level 7, 133 Castlereagh Street Sydney or to staff attending any of our events or activities.

Receiving Complaints

Complaints may arrive through channels publicised for that purpose or through any other contact details or opportunities the complainant may have.

Complaints received by telephone or in person need to be recorded.

The person who receives a phone or in person complaint should:

- Write down the facts of the complaint
- Take the complainant's name, address and telephone number
- Note down the relationship of the complainant to the IIA-Australia eg client, member etc
- Tell the complainant that we have a complaints procedure
- Tell the complainant what will happen next and how long it will take
- Where appropriate, ask the complainant to send a written account by post or by email so that the complaint is recorded in the complainant's own words.

For further guidelines about handling verbal complaints, see **Appendix 1** *Resolving Complaints*

Stage One

In many cases, a complaint is best resolved by the person responsible for the issue being complained about. If the complaint has been received by that person, they may be able to resolve it swiftly and should do so if possible and appropriate.

Whether or not the complaint has been resolved, the complaint information should be passed to the Executive Officer within one week.

On receiving the complaint, the Executive Officer records it in the Complaints Log. If it has not already been resolved, they delegate an appropriate person to investigate it and to take appropriate action.

If the complaint relates to a specific person, they should be informed and given a fair opportunity to respond.

Complaints should be acknowledged by the person handling the complaint within a week. The acknowledgement should say who is dealing with the complaint and when the person complaining can expect a reply. A copy of this complaints procedure should be attached.

Ideally complainants should receive a definitive reply within four weeks. If this is not possible because for example, an investigation has not been fully completed, a progress report should be sent with an indication of when a full reply will be given.

Whether the complaint is justified or not, the reply to the complainant should describe the action taken to investigate the complaint, the conclusions from the investigation, and any action taken as a result of the complaint.

Stage Two

If the complainant feels that the problem has not been satisfactorily resolved at Stage One, they can request that the complaint is reviewed at Board level. At this stage, the complaint will be passed to the Chair of the Board.

The request for Board level review should be acknowledged within a week of receiving it. The acknowledgement should say who will deal with the case and when the complainant can expect a reply.

The Chair of the Board may investigate the facts of the case themselves or delegate a suitably senior person to do so. This may involve reviewing the paperwork of the case and speaking with the person who dealt with the complaint at Stage One.

If the complaint relates to a specific person, they should be informed and given a further opportunity to respond.

The person who dealt with the original complaint at Stage One should be kept informed of what is happening.

Ideally complainants should receive a definitive reply within four weeks. If this is not possible because for example, an investigation has not been fully completed, a progress report should be sent with an indication of when a full reply will be given.

Whether the complaint is upheld or not, the reply to the complainant should describe the action taken to investigate the complaint, the conclusions from the investigation, and any action taken as a result of the complaint.

The decision taken at this stage is final.

Variation of the Complaints Procedure

The Board may vary the procedure for good reason. This may be necessary to avoid a conflict of interest, for example, a complaint about the CEO should not also have the CEO as the person leading a Stage One review.

Monitoring and Learning from Complaints

Complaints are reviewed annually to identify any trends which may indicate a need to take further action.

Practical Guidance for Handling Verbal Complaints

- Remain calm and respectful throughout the conversation.
- Listen - allow the person to talk about the complaint in their own words. Sometimes a person just wants to "let off steam".
- Don't debate the facts in the first instance, especially if the person is angry.
- Show an interest in what is being said.
- Obtain details about the complaint before any personal details.
- Ask for clarification wherever necessary.
- Show that you have understood the complaint by reflecting back what you have noted down.
- Acknowledge the person's feelings (even if you feel that they are being unreasonable) - you can do this without making a comment on the complaint itself or making any admission of fault on behalf of the organisation e.g *I understand that this situation is frustrating for you.*
- If you feel that an apology is deserved for something that was the responsibility of your organisation, then apologise.
- Ask the person what they would like done to resolve the issue.
- Be clear about what you can do, how long it will take and what it will involve.
- Do not promise things you cannot deliver.
- Give clear and valid reasons why requests cannot be met.
- Make sure that the person understands what they have been told.
- Wherever appropriate, inform the person about the available avenues of review or appeal.

Associated Policies and Statements

Statement of [Business Ethics](#)

Graduate Certificate in Internal Auditing – P4 - [Grievance Policy](#)

Complaint and Disciplinary Policy, relating to Members [Complaints & Discipline](#)

IIA-Australia Staff Human Resources Policies & Procedures Manual