

## Note

*This policy is taken from Connexis's internal **Consent, Moderation and Assessment Policies and Processes (CMAPP) v1.0** document, **Section 14**.*

*This section of the policy can be shared externally with relevant stakeholders.*

This process is based on and must be used in conjunction with Te Pūkenga Ākonga Concerns and Complaints Policy which ensures that ākonga have access to a concerns and complaints resolution process that is timely, fair, effective, culturally appropriate, and upholds the principles of natural justice.

## 14. Formal Complaints

### 14.1 Purpose

The purpose of this process is to ensure that formal complaints received are resolved in a timely, fair and equitable way and are part of a continuous improvement process at Connexis.

### 14.2 Scope

This process is used in the event of a formal complaint being received.

Concerns that can be resolved by a conversation to clarify understanding are not in the scope of this process. These should be dealt with by the person who receives them with advice from others they may consult to get the right information.

### 14.3 Definitions

A complaint may be categorised as a formal complaint where it requires investigation into misconduct by one or more parties. If a complaint can be easily resolved by a conversation to clarify understanding, it would be categorised as an informal complaint.

The following will be treated as a Formal Complaint:

An expression of dissatisfaction where the person seeks some form of redress or change in a situation; where the person considers that there has been a direct and significant adverse impact on him/her, and which requires a formal process of resolution.

### 14.4 Responsibilities

- All Staff have a responsibility to know and understand the complaints policy and process and to be able to inform complainants of their right to make a complaint and where to find information on the process.



- The Complaints Officer is responsible for ensuring that all complaints received are recorded in the register and they will assign the complaint to the relevant staff member for investigation. They will also inform the SLT that the complaint has been received. They then need to ensure the complaints process is followed for each, through to resolving.
- Staff assigned to investigate a complaint are responsible for ensuring the process to address and resolve the complaint is followed and all documentation is complete and is a true and accurate record of events.

The Connexis Complaints Officer is Kate Wallace, Quality Manager.

## 14.5 Documentation and Filing

All formal complaints are to be documented on the Formal Complaint form. This includes the details of the actual complaint from the Complainant and details captured from the investigation and communications that follow, through to arriving at an outcome.

### [Link to the Formal Complaint form.](#)

The Complaints Register holds the summary information for all complaints and shows the status of each. The Complaints Officer will ensure the Register is kept up to date.

All documentation is filed in a private channel in the Quality Team files, in order to maintain the privacy of those involved. This is called the Complaints Monitoring channel.

All documents related to a complaint should be sent to the Complaints officer who will ensure they are correctly filed.

For each separate complaint a new sub-folder with the complainants name will be created. The complaints form and any other relevant documents, e.g. evidence collected, will be filed in here. This should include copies of any emails that are relevant to show the process, and the final communication sent to all parties.

## 14.6 Process

1. The complainant makes their complaint in person or in writing normally within 21 days of the incident or issue. Complaints may be received orally or in writing (via a staff member or through the feedback form on our website). Where a complaint is received orally the staff member who receives it must put it in writing, using the complaints form, to the satisfaction of the complainant.
2. Complaints made 22 or more days following the incident or issue may proceed at the discretion of the Complaints Officer.
3. All complaints received should be forwarded to the Complaints Officer.
4. Complaints regarding Connexis staff should be referred to People and Culture.



5. The Complaints Officer will ensure the complaint is entered onto the Formal Complaints Register and is assigned a number/code. They will then inform the SLT that a complaint has been received and the nature of it.
6. The Complaints Officer must then assess the complaint for legal or other implications, and where applicable assign it to another staff member to initiate an investigation following the Connexis process.
7. On initial contact with the complainant, the investigator must ensure they understand the process that will be used and that at any time they have the right to involve a support person of their choice or to withdraw their complaint.
8. The Investigator will contact the complainant to discuss details of the complaint and collect evidence. They will talk to other staff involved as required to understand fully what has happened and gather evidence. Dates of discussions are to be noted on the Formal Complaint form.
9. The investigator must keep the complainant informed of progress.
10. When the investigation has been completed the investigator must share the documentation with the Complaints Officer, discuss the issue and possible outcome/s. The Complaints Officer will then convey all this information to the SLT with recommended outcome and together they will decide the final outcome.
11. When a decision is made the Complaints Officer will report the outcome to all parties in writing within 30 days of receipt of the complaint. The communication will also include the complainants right to appeal if they are not satisfied with the outcome.
12. The Complaints Officer will include in their notification to the complainant a request for feedback on their experience of the complaints process. Feedback received will be used to inform continuous quality improvement of the process.
13. Where, as a result of the complaint, improvements to Connexis processes are identified, the Complaints Officer will ensure that these are communicated to the right department for implementation.

## 14.7 Associated Documents and Forms

### 0.7.1 [Formal Complaint Form](#)

### 0.7.2 Complaints Register

