

## IBN Appeals and Complaints Policy and Procedures

DOCUMENT CONTROL	
<b>Approved by:</b> IBN Board	<b>Date approved:</b> 20 February 2017
<b>Policy managed by:</b> Corporate Services	<b>Policy number:</b> CS2 APPEALS AND COMPLAINTS

Revision date	Resolution number	Resolution type	Revision description

## Contents

Contents .....	2
1. Title .....	3
2. Purpose .....	3
3. Scope.....	3
4. Policy statement.....	3
4.1 Policy principles .....	3
4.2 Confidentiality .....	3
4.3 IBN Code of Conduct .....	3
5. Community Programs Appeals Procedure.....	4
5.2 Community Programs – Procedure of Reviews and Appeals .....	5
6. General Complaints .....	6
7. Monitoring, evaluation and review .....	7
8. Definitions and abbreviations .....	7
9. Associated Documents.....	7
10. References.....	7

## **1. Title**

IBN Appeals and Complaints Policy and Procedures

## **2. Purpose**

The purpose of this policy is to establish a fair and consistent process for managing complaints from members or the general public, and IBN member appeals concerning Community Programs decisions, processes and guidelines. This policy has been framed in accordance with the principles of procedural fairness.

## **3. Scope**

This policy applies to:

- IBN Community Programs reviews and appeals and
- General complaints about IBN services and operations made by IBN members or members of the general public.

The policy does not apply to workplace grievances by IBN employees, which are managed under the Employee Grievances Policy.

## **4. Policy statement**

### **4.1 Policy principles**

In the application of this policy, IBN will:

- Ensure procedural fairness to all parties.
- Respond promptly to all reported appeals and complaints.
- Seek resolution in a fair, impartial, confidential and consistent manner.
- Support staff to manage and resolve appeals and complaints.
- Maintain a confidential record of appeals and complaints, including information on the outcomes.

### **4.2 Confidentiality**

All information relating to an appeal or complaint must remain confidential to those involved in the process, and all documents (hard copy and electronic) will be stored in a secure file. IBN may disclose information to obtain advice or assistance to assist in the resolution of any appeal or complaint. IBN will take any steps necessary to preserve or enforce confidentiality.

### **4.3 IBN Code of Conduct**

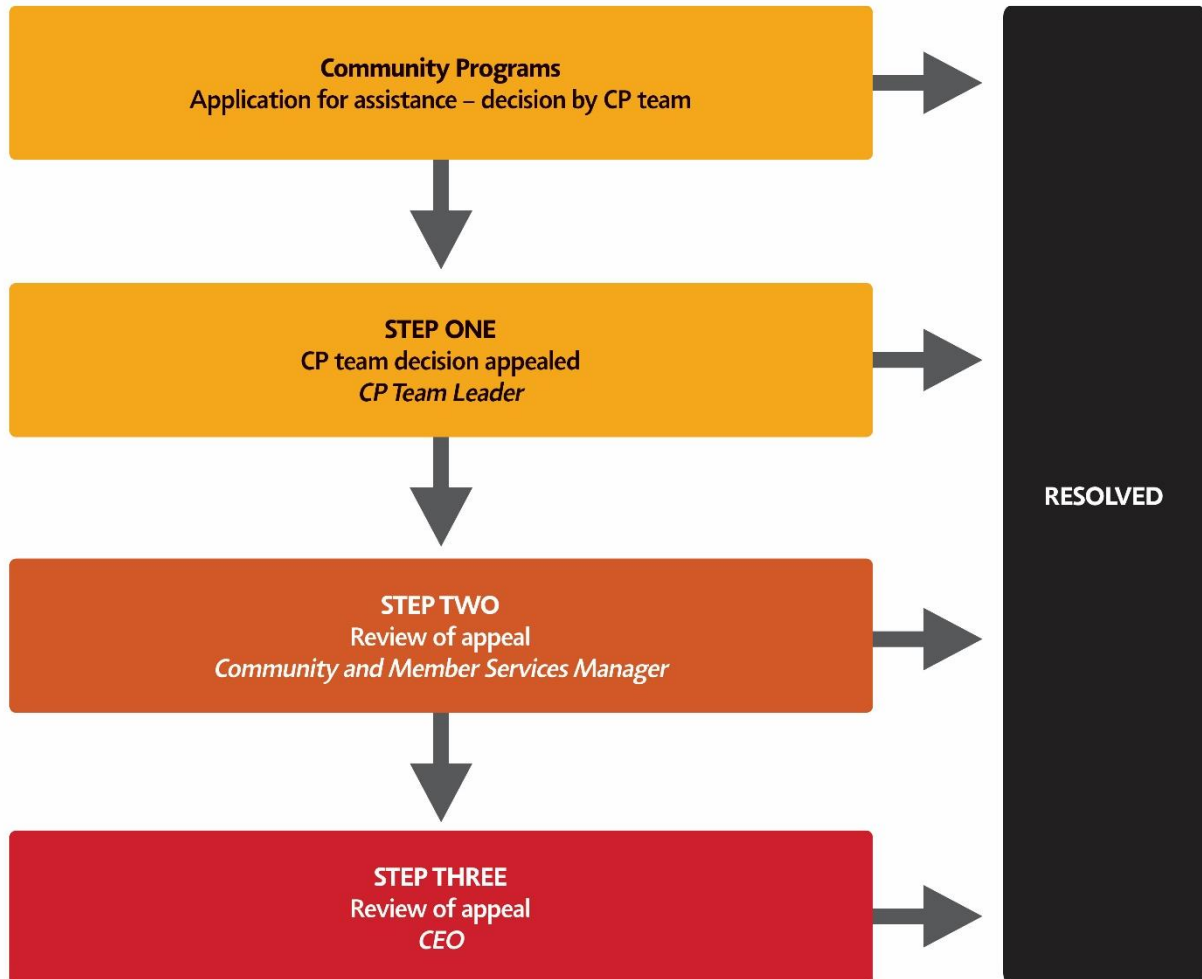
No person involved in an appeal or complaint will be disadvantaged or victimised for making an appeal or complaint, or for being involved in an investigation in any way. Victimisation is regarded as a breach of the IBN Code of Conduct and may result in disciplinary action or sanctions.

### **4.4 Right to an advocate**

A person lodging an appeal or making a complaint may at any time, have a companion or advocate to assist in this process.

## 5. Community Programs Appeals Procedure

### 5.1 Community Programs Appeals Flow Chart



## 5.2 Community Programs – Procedure of Reviews and Appeals

Steps	Action by	Task
1	<b>Lodging an appeal/ Initial investigation</b>	
	Member	<p>IBN members who wish to dispute a Community Program (CP) decision, policy or process may appeal in writing, using the standard Appeal Form (See Appendix).</p> <p>If the member needs assistance to lodge a written appeal, they will be referred directly to the CP Team Leader who will assign the appropriate team member to assist.</p> <p>-----</p> <p>The CP Team Leader will consider the original decision to ensure compliance with IBN policies and procedures.</p> <p>As a result of this process, an appeal may be: 1) Approved, 2) Declined, 3) Varied, 4) Deferred (for example, pending further information), or 5) Referred to Step 2.</p> <p>The CP Team Leader will inform the member of the review outcome as soon as possible. If the appeal is successful, the application will be processed. If the appeal is not successful, the member will be told about the decision and made aware of the process for a review.</p> <p>-----</p> <p>If the appeal is not resolved at Step 1, it may be referred to the Community and Member Services Manager (CMS) (Step 2) for review. A member may request another review, if they feel they weren't given proper consideration under IBN policies.</p>
2	<b>CMS Review</b>	
	CMS CEO	<p>The CMS will review disputed CP appeals to see that the previous steps were followed correctly, that all information was available and that the application was assessed within an appropriate assistance policy. The CMS will respond with a decision as soon as possible.</p> <p>-----</p> <p>If an appeal cannot be resolved at Step 2 or the CMS considers the appeal warrants a review of IBN policy, guidelines or processes, it may be referred to the CEO. (Step 3).</p>
3	<b>CEO</b>	
	CEO	An appeal referred to the CEO will be investigated as appropriate.
4	<b>Resolution</b>	
	CEO/CMS	<p>The member who lodged the appeal will be advised of the final decision in writing and as soon as possible.</p> <p>Community and Member Services Manager will maintain a confidential Appeals Register to document decisions and outcomes.</p>
5	<b>Board Referral – General Complaint</b>	
	Board	<p><i>If after the conclusion of this process (steps 5.2.1 through 5.2.4) the member believes that this policy has not been administered correctly then they may make a 'General Complaint' which is addressed through a separate procedure outlined in sections 6.1 and 6.2.</i></p>

## 6. General Complaints

### 6.1 General Complaints Flow Chart



### 6.2 General Complaints Procedure

Steps	Action by	Task
1	<b>Lodging a complaint – Initial investigation</b>	
	Manager	<p>Community complaints (other than CP appeals) are directed to the relevant IBN Manager to investigate.</p> <p>-----</p> <p>If the complaint is not resolved at Step 1, it may be referred to the CEO for review (See Step 2)</p> <p><i>Note: Complaints involving a Manager are referred to the CEO and complaints involving the CEO are referred to the IBN Board.</i></p>
2	<b>Review</b>	
	CEO (or Board)	<p>Complaints referred to the CEO (or IBN Board) are reviewed and/or investigated. The Board's decision is final.</p> <p><i>A member can write directly to the Board by emailing the Board Secretary at <a href="mailto:boardsec@ibngroup.com.au">boardsec@ibngroup.com.au</a> to request the matter is listed for Board consideration.</i></p>
3	<b>Resolution</b>	
	Corporate Services	<p>The complainant is advised of the decision in writing as soon as practicable.</p> <p>A confidential record of the complaint will document decisions and outcomes.</p>

## 7. Monitoring, evaluation and review

IBN Managers will provide regular reports to the CEO.

This policy will be subject to periodic audit and review by the CEO and IBN Board.

## 8. Definitions and abbreviations

Term	Meaning
Appeals	Means to apply to a higher authority for review of a decision.
Community Programs Manager	Means the Manager responsible for IBN Community Programs.
Complaints	Means an expression of dissatisfaction or concern received from a client, customer, member or the public about the company's services, processes, products, performance, or the conduct of an employee or representative of the organisation.
CEO	Means the IBN Chief Executive Officer.
CP	Means IBN's Community Programs.
CS	Means IBN Corporate Services.
Manager	Means a person employed at Level 5 or above of the IBN salary structure.
Misconduct	Means conduct considered unacceptable in the workplace, including criminal offences and breaches of the IBN Code of Conduct or Confidentiality policy.
Procedural fairness	Means a process that typically requires: <ul style="list-style-type: none"><li>• Objectivity and lack of bias,</li><li>• Evidence to support a decision; and</li><li>• A process to allow all parties to state their case.</li></ul> The term 'natural justice' is sometimes used interchangeably with 'procedural fairness'.
Supervisor	Means an employee's immediate line manager.
Victimisation	Means threatening or subjecting harm or detriment to a person involved in an appeal or complaint.

## 9. Associated Documents

IBN Community Programs Handbook

IBN Code of Conduct

Community Programs Appeal Form (See Appendix)

## 10. References

Ombudsman WA Guidelines *Effective handling of complaints made to your organisation – An Overview* November 2010

Ombudsman WA Guidelines *Procedural Fairness (natural justice)* May 2009

AS ISO 10002-2006 Customer Satisfaction – *Guidelines for complaints handling in organisations* (ISO 10002:2004)



## **IBN Community Programs Appeal Form**

<b>MEMBER NAME</b>						
<b>CONTACT DETAILS</b>	Phone Email Postal address					
<b>COMMUNITY PROGRAM (tick)</b>	Essentials	<input type="checkbox"/>	Legal Advice	<input type="checkbox"/>	Language, Culture & Heritage	<input type="checkbox"/>
	Emergencies	<input type="checkbox"/>	Health	<input type="checkbox"/>	Enterprise Program	<input type="checkbox"/>
	Funerals	<input type="checkbox"/>	Elderly, Disabled & Infirm (Housing & Vehicles)	<input type="checkbox"/>	Education	<input type="checkbox"/>
<b>ORIGINAL APPLICATION</b>	<i>Please describe the original application:</i>					
<b>REASON FOR THE APPEAL/REVIEW</b>	<i>Please explain why you think this decision is unfair:</i>					
<b>SUPPORT MATERIAL</b>	<i>Please attach information that may support your appeal.</i>					

I declare that the above information is true and correct. I understand that IBN may disclose any aspect of this application for any relevant purpose.

Signature: .....

Date: .....

Options for returning this form:

Fax: (08) 9172 1136

Post: PO Box 2390, South Hedland WA 6722

Scan and Email: [applications@ibngroup.com.au](mailto:applications@ibngroup.com.au)

In person: South Hedland, Tom Price, Karratha