

POLICY

CLIENT COMPLAINTS & NON-CONFORMANCE HANDLING POLICY

POL_007

Employer:	AUSTRALIAN CONCERT AND ENTERTAINMENT SECURITY PTY LTD			Worksite / Job:	ACES OPERATIONS ALL ACES WORKSITES		
For:	ACES EMPLOYEES						
Approved:	Travis Semmens	Date:	21/01/2013	Prepared:	Sonja Semmens	Date:	18/01/2013
Version	V2	Release:	21/01/2013	Review	3 years	Original:	01/09/2007

Purpose:

This policy demonstrates the process and assigns responsibility to individuals for dealing with a complaint, allegation or service delivery failure (non-conformance) within Australian Concert & Entertainment Security (ACES). The training department has a separate complaint and grievance policy which relates to their particular business.

It is not intended to cover every scenario, only to provide guidance for the process for lodging, receiving and investigating issues that may arise.

The Policy establishes a standard by which management and staff;

- Can address a complaint , allegation or service failure (non-conformance)
- Comply with their responsibilities and obligations to ACES
- Comply with contractual obligations and legislative requirements
- Investigate and determine an appropriate course of action
- Address any serious incidents or breaches
- Practice fairness and equity

This policy is to complement the Enterprise Agreements for ACES staff.

Policy:

1. Context

- 1.1. A complaint handling system is an organised way of responding to, recording, reporting and using complaints to improve service delivery. It includes procedures for dealing with clients complaints and guidelines for staff to resolve them.
- 1.2. An effective complaint handling system is an essential part of providing quality service. It is a measure of client satisfaction. It provides positive feedback about aspects of service that work well, and is a valuable source of information for improvement.
- 1.3. Five basic principles underpin this complaint handling policy:
 - 1.3.1. The need for an accessible complaint handling system.
 - 1.3.2. The need to eliminate & properly manage conflict of interests.
 - 1.3.3. The need to afford procedural fairness to all parties to a complaint.
 - 1.3.4. The need for complaints to be properly investigated or otherwise dealt with.
 - 1.3.5. The need to ensure adequate documentation of all steps in handling a complaint.

Australian Concert and Entertainment Security Pty Ltd - T/as : Event Force | Avert Risk Management Services | Assure Event Safety Services | Secure Domain | Alleviate Event Administration and Logistics | Affirm Training

P (02) 9699 7711
F (02) 9699 7755
 safe@acesecurity.com.au
 www.acesecurity.com.au

National Head Office
 79 - 81 Regent Street
 Redfern NSW 2016
 Australia

ABN 16 002 990 794
 ACN 002 990 794
 NSW M/L: 404776913
 ASIAL Member: 003749
 RTO: 90024



2. Policy Statement

- 2.1. Despite ACES best intentions, at times problems may arise which may personally affect a person's ability to perform their duties to the high standard ACES expects. It is the individual employee's responsibility to ensure that ACES management is made aware of any work related problem(s) so that we can adequately address them. Early notification of 'issues' allows ACES to resolve the problems before they escalate.
- 2.2. It is important that ACES has a system in place to deal with suggestions, complaints and allegations from staff, contractors, members of the public and other interested parties. Staff have a responsibility to foster harmonious and productive workplace relations and to take all reasonable care for the health, safety and welfare of themselves and others at their places of work. Therefore staff should attempt to resolve their differences amicably and only if this cannot be achieved, should a complaint be lodged.

CLIENT / EXTERNAL COMPLAINTS

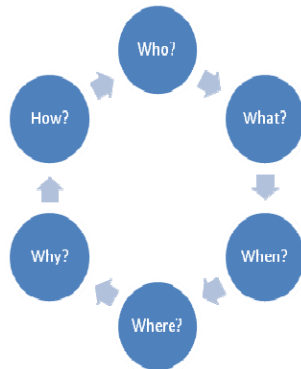
3. Dealing with a Client Complaint / Service Failure

- 3.1. The process for dealing with a client complaint or service failure should be seen as an opportunity to seek improvement. Companies, who vigorously pursue client feedback and actively measure their performance against benchmarks, usually achieve and maintain superior customer service levels.
- 3.2. A complaint or allegation can be made orally or in writing. If made orally, it will need to be formalised in writing, utilising the ACES Document FOR_253 Complaints and Non-Conformance Report. This is the approved form for recording, investigating and documenting all complaints or service failures.
- 3.3. Complete the pro forma document and obtain the required information below:
 - 3.3.1. The date the complaint was lodged,
 - 3.3.2. The complaint title, refer to naming protocol following,
 - 3.3.3. Complaint number – allocated from Head Office,
 - 3.3.4. The client company,
 - 3.3.5. The client representative,
 - 3.3.6. Their contact details,
 - 3.3.7. The complaint details – include the original complaint along with any specific information elicited from discussions with the client,
 - 3.3.8. Investigation – detail facts arising from the investigation. Include references such as persons, dates, source documents etc,
 - 3.3.9. Complaint justification – make a judgement from the information at hand,
 - 3.3.10. Corrective action – what is the action to resolve the immediate problem for the client,
 - 3.3.11. Preventative action – what steps have been put in place to prevent a reoccurrence,
 - 3.3.12. Complaint closure – information relating to the closure and communication of the final outcomes of the issue.

4. Supervisor / Manager

- 4.1. The Supervisor / Manager will routinely be the primary contact with the Client regarding the complaint or service failure, unless the matter is of a serious nature and the complaint or failure has been referred to senior management.
- 4.2. The Supervisor / Manager should determine what the actual complaint or failure relates to; was it procedural? Was it a failing of an individual? Is my Supervisor / Manager aware? Should Human Resources and the Operations Manager be informed? Can progress be made by mediation or negotiation? Does it constitute negligence or serious misconduct on the part of an employee? Is there urgent time constraints involved? Am I the right person to conduct the investigation? Is there a conflict of interest?
- 4.3. It is necessary to obtain clear information from the client and clarify what the clients desired outcome may be.
- 4.4. The Supervisor / Manager should complete the FOR_253 making certain that all pertinent details are included. Consideration should be given to including information about attempts at mediation / negotiation and their outcomes.
- 4.5. The form should be emailed to the ACES Management (management@acesecurity.com.au) as soon as practicable. Upon receipt of the initial FOR_253 report management will endorse the complaint register with the required information. Depending on your managers direction you may then be required to commence to investigate the situation surrounding the complaint or service failure.

- 4.6. You will be advised of a complaint number which should be recorded on the top right hand corner of the FOR_253. The naming protocol for this document will be representative:
 - 4.6.1. "CC – (Venue Code) – (Year) - (sequential number from your site)"
 - 4.6.2. Example: CC-SHFA-2007-005
- 4.7. When conducting your inquiries you need to provide clear and concise answers to the following questions: "Who was involved?" "What happened?" "When did it happen?" "Where did it happen?" "Why did it happen?" "How did it happen?"



5. Information Discovery Model

- 5.1. It is important that in the investigation process you remain impartial and objective. Deal only with the facts at hand. You will also need to ensure that the principals of natural justice and procedural fairness are provided to all parties involved in the investigation. Privacy and confidentiality should also be extended to the individuals concerning the nature and content of the complaint or allegation.
- 5.2. The Supervisor / Manager will then make a determination if the complaint has been justified or not and indicate this in the section provided. The rationale for this decision must be clear.
- 5.3. Corrective action & preventative action to address a client complaint or service failure may require remedial action to be implemented to avoid a reoccurrence. Ideas that involve innovation and resourcefulness are encouraged. Further, if a systemic failure has occurred you may need to recommend to your Supervisor / Manager adjustment of the systems and processes or retraining in a particular task be implemented.

6. Human Resources Manager

- 6.1. Depending on the result of the investigation, the matter may require formal employee performance management. Reference is made to ACES Document FOR_140 Employee Performance Record. Human Resources will provide guidance and assistance in the conduct of the performance reporting method. As part of the corrective action and or preventative action formal counseling, disciplinary action or particular training requirements may become evident and Human Resources can support these processes. Any action taken should be included on the FOR_253.

7. Managing Director

- 7.1. Upon receipt of information relating to a Client complaint or service failure the General Manager will ensure all necessary resources are assigned to provide a prompt investigation and resolution of any identified issue. Any action taken should be included on the FOR_253.
- 7.2. Certain situations may require formal meetings of Management of both organisations to resolve and determine an agreeable resolution to the issues. Any outcomes should be included on the FOR_253.

8. Communicating the results

- 8.1. At the conclusion of the investigation the most appropriate ACES representative (Supervisor or Manager) will schedule a meeting with the client and inform them of the outcomes and the corrective and preventative actions that have taken place. The Client's sentiment regarding the findings and acceptance of the action taken should also be sought.

Context: Legislation, Regulation, Code of Practice (COP), Guides:

1. ACES as an employer, is bound by the provisions outlined in following References, Acts, Standards, guidelines and contract specifications when implementing its Client Complaints and Non-Conformance Handling Policy.

References

- Australian Standard 4269 – Complaints Handling 1995
 - Department of Education and Training, Responding to Suggestions, Complaints and Allegations Procedures, April 2001
 - NSW Ombudsman, Complaint Handling Guidelines Part I, II & III, December 2006
 - NSW Ombudsman, Investigating Complaints 2004
2. For ACES to demonstrate compliance with these provisions it is essential that ACES employees are set strict policy guidelines.

Version Document History:			
Version #:	Date Created:	Author:	History of Changes
1.0	22 October 2007	Martin, D	HO Approved 22 October 2007
2.0	18 January 2013	Semmens, S	Reviewed, reformatted and updated