



COMPLAINTS MANAGEMENT CHECKLIST

Complaints by stakeholders should be welcomed, acknowledged and responded to. Your complaints management system should have a policy and procedure which addresses:

- ☐ **Encouraging** any stakeholder to provide feedback or make a complaint to your organisation (including anonymously)
- ☐ **Guidance** on how a complaint about the registered NDIS provider or a staff member can be made to the provider and/or made directly to the NDIS Commission
- ☐ Providing an easy and **accessible** process for making and resolving complaints
- ☐ Ensuring **appropriate support** and assistance is provided to any person who wishes to provide feedback or make a complaint

Complaints Management System:

Your complaints management and resolution system should be maintained, relevant and proportionate to the size, scale, and scope of your organisation. The system must comply with the requirements under the NDIS (Complaints Management and Resolution) Rules 2018.

Your fully documented, accessible complaints management system should:

- ☐ Follow the **principles of procedural fairness** and **natural justice**
- ☐ **Acknowledge** the receipt of all complaints
- ☐ Ensure complaints are assessed and resolved in a **fair, efficient** and **timely** manner
- ☐ Take appropriate **action** in relation to issues raised in complaints
- ☐ Ensure that any person who makes a complaint to the provider (and each person with disability affected by an issue raised in such a complaint) is advised how that complaint or issue **may be raised** with the NDIS Commission
- ☐ Provide **appropriate support** and assistance to any person who wishes to make a complaint to the NDIS Commission
- ☐ Take reasonable steps to ensure that a person who makes a complaint, or a participant affected by an issue raised in a complaint, is **not adversely affected** because of making the complaint
- ☐ Keep information provided in a complaint **confidential** and only disclosed if required by law or in the appropriate circumstances
- ☐ Require a complaint to be referred or **notified to any other bodies** in accordance with any requirements under relevant Commonwealth, State, or Territory laws
- ☐ Keep appropriate records of complaints made for **seven years** from the day that the complaint is made, and include the following where appropriate:
 - ☐ **Information** about the complaint
 - ☐ Any **action** taken to resolve complaint
 - ☐ The **outcome** of any action taken

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Continuous improvement in your complaints management system are demonstrated through regular review and must:

- ☐ Provide for the collection of statistical and other information relating to complaints to enable a **review of issues** raised in complaints; and
 - **Identify** and **address** organisational systemic issues raised through the complaints management and resolution process
 - **Report** information relating to complaints to the NDIS Commission, if requested
 - Have **periodic reviews** to ensure its effectiveness, including review of Policy and Procedure
 - Seek and incorporate staff and stakeholder **feedback** on the complaints management system

All staff at your organisation should be trained, have an understanding and comply with the required procedures in relation to feedback and complaints handling. This includes:

- ☐ The roles and responsibilities of any staff in relation to the receipt, management and resolution of complaints made to your organisation
- ☐ Advising them how to support stakeholders to make a complaint, internally and externally
- ☐ Educate them on the use of, and ongoing compliance with, the complaints management system

Additional information – Complaints made to the NDIS Commission

- ☐ Stakeholders should be educated about and supported to raise their concerns with the NDIS Commission
- ☐ Stakeholders can make complaints to the commission by
 - Phoning 1800 035 544 (or TTY: 133 677) – interpreters can be arranged
 - Completing a complaint contact form on the Commission website (listed below)

More information can be found by following these links

<https://www.legislation.gov.au/Details/F2018L00634/Controls/>

[Making a complaint | NDIS Quality and Safeguards Commission \(ndiscommission.gov.au\)](https://www.ndiscommission.gov.au/making-a-complaint)

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Complaint Management made simple:

- ☐ Ensure stakeholders are encouraged to make complaints when necessary
- ☐ Ensure stakeholders are supported to make complaints when they need to
- ☐ Ensure complaints are acknowledged
- ☐ Ensure complaints are responded to
- ☐ Ensure complaints are acted on
- ☐ Ensure stakeholders are educated about how to escalate the complaint to the commission
- ☐ Ensure data about the complaint is kept (for 7 years)
- ☐ Ensure your complaints are reviewed periodically for systemic trends
- ☐ Ensure your complaints management policy and procedure are reviewed periodically
- ☐ Ensure all staff are trained and confident in all of the above

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