

## COMPLAINTS PROCESS

This Complaints Process complements and supports Opportunity's Complaints Policy located at <https://opportunity.org.au/content/2019/1%20About%20Us/Policies/OIAU%20Complaints%20Policy.pdf>. This process should be read in conjunction with the Policy.

When responding to complaints, staff must act in accordance with the Complaints Policy following the process set out below. Other guidance provided on the handling of complaints should also be taken into consideration, along with any relevant legislation and/or regulations when responding to complaints and feedback.

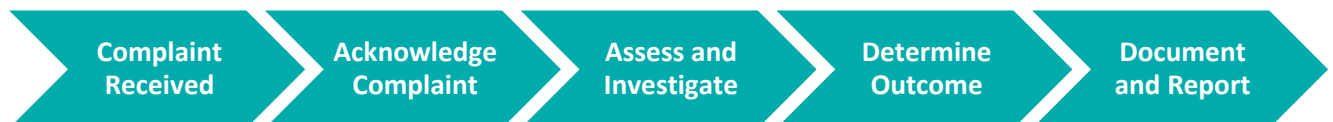
### Minor Complaints

Where a complaint of a minor nature is received (as set out in the Policy), it should be able to be easily and promptly resolved. If the staff member receiving the complaint feels adequately equipped to handle the complaint, they should:

- acknowledge the complaint, listen respectfully, and clarify the details of the complaint,
- ascertain what needs to be done to resolve the situation,
- take the required actions to resolve the complaint and prevent any reoccurrences,
- inform the complainant of the actions taken and the outcome the actions will achieve
- offer an explanation or apology to the person making the complaint if appropriate, and
- provide details of the complaint, actions taken and the outcome to the Complaints Officer for recording in the Complaints Register.

If the person receiving the Complaint is not able to resolve the complaint, or the complaint is complex, significant or serious, then it should be directed to the Complaints Officer to be handled as set out below.

### KEY STEPS FOR COMPLEX, SIGNIFICANT AND SERIOUS COMPLAINTS



#### Complaint Received

- If a complaint is not resolved at the outset, it is directed to the Complaints Officer.
- Complaints Officer gathers information about the complainant, the issues underlying the complaint, and the complainant's desired outcomes. If the complaint is in writing it may be necessary to contact the complainant to clarify the facts.
- Complaints about a Director, the CEO, Company Secretary or Complaints Officer can be made directly to the Chair of the Audit & Risk Committee (a Member of the Board).



#### Acknowledgement

- Each complainant receives a prompt acknowledgement of their complaint, ideally within five business days, using the most appropriate communication channel (e.g. email, phone call, letter).
- An explanation of the complaints process, next steps, and the expected timeline for resolution are provided to the complainant, and the Complaints Policy or process is provided if requested.
- If appropriate, the complainant is informed they can make a complaint regarding any alleged breach of the ACFID Code of Conduct to the ACFID Code of Conduct committee.



### Assess and Investigate

- The Complaints Officer gathers & documents relevant information to establish the facts, consults and/or interviews the complainant, stakeholders, or other concerned parties as required.
- The initial assessment confirms if the issue(s) raised are within our control, determines what outcome the complainant is seeking, if the matter can be easily resolved or it needs further investigation. This clarifies how the complaint should be handled and if it needs to be escalated.
- Factors considered in the initial assessment include how serious or urgent the complaint is, if it concerns people's health or safety, who is or will be impacted, the risks involved, and what resources are required to resolve the complaint.



### Complaint Resolved Quickly

- If a complaint is minor or easy to resolve, we will strive to resolve it within five business days of receipt.



### Complaint Resolved to Satisfaction of Complainant

- The complainant is informed of actions taken, outcomes and reasons for the decision.
- The Complaints Officer records the details in the Complaints Register.



### Further Investigation Required

- The Complaints Officer starts a Complaints Record form to capture the relevant details, actions taken and outcomes, updating it as required.
- Serious complaints are immediately escalated to the CEO and the Board. Complaints about a Director, the CEO, or the Company Secretary are immediately escalated to the Board Chair.
- CEO appoints a Complaint Investigator who gathers further evidence, secures the required resources, leads the investigation maintaining detailed records, and keeps the complainant updated on the process, progress and expected timelines to resolve.
- The Safeguarding Officer is involved if appropriate.
- At the conclusion of the investigation, a report with the details and recommended actions is provided to the CEO, and/or Board if appropriate, for a decision.



### Appeal Process

- If requested, an internal review of the investigation and decision is conducted by a different person.
- The complainant is informed of actions taken, outcomes and reasons for our decision, and if there are any options for an external appeal.



### Complaint Dismissed

- The complainant is informed of actions taken, outcomes, and the reasons for the decision.
- If not satisfied with decision, complainant is advised they can appeal the decision in writing to the CEO.
- If the complaint relates to an alleged breach of the ACFID Code of Conduct, the complainant is informed they can make a complaint to ACFID's Code of Conduct committee.



### Complaints reporting

- The Complaints Officer records a summary of all complaints in the Complaints Register.
- The Complaints Officer reports on new complaints received and progress of complaints being investigated to the Leadership Team at its quarterly meetings (unless earlier notification is deemed appropriate, or the complaint is about a member of the Leadership Team).
- The Board receives a quarterly report summarising complaints received, investigations underway and actions taken in the prior period. The Board also received an Annual Complaints Report.
- Opportunity strives to learn from complaints received. We analyse complaints data, monitor trends and communicate learnings to the relevant stakeholders, implementing changes to improve our products, services, systems and/or processes as appropriate.