

External Complaint Handling Procedure (New Zealand)

Contents

| | |
|--|----|
| Contents | 1 |
| 1. Purpose..... | 3 |
| 2. Scope | 3 |
| 3. Procedure | 4 |
| Context | 4 |
| Neighbourhood Disputes and Anti-Social Behaviour | 5 |
| MP, Ministerial & CHRA NZ Complaints/Enquiries..... | 5 |
| Ministerial Complaint | 5 |
| Community Housing Regulatory Authority (CHRA NZ)..... | 5 |
| Local MP Complaints | 6 |
| Privacy Complaint..... | 6 |
| Complaints including allegations of fraud, corruption, or misconduct..... | 6 |
| Complaints Regarding Non-Home in Place NZ Neighbours..... | 6 |
| Substantiated Complaints or Ongoing Disruption Complaints against Home in Place NZ’s Tenants | 7 |
| Managing a Complaint | 7 |
| 1. Receive and Record | 7 |
| 2. Assess and Prioritise | 9 |
| Reason for Complaint being Raised..... | 10 |
| 3. Investigate, Document and action | 10 |
| Investigating | 10 |
| Actions Taken to Address a Complaint..... | 11 |
| Response Times / Resolution | 11 |
| Finalisation | 12 |
| Finalisation Ministerial Request | 12 |
| 4. Outcomes and System Improvement..... | 13 |
| 5. Monitoring Effectiveness and Reporting..... | 13 |
| Retention of records..... | 13 |
| Complaint Management Responsibilities..... | 14 |
| Appealing a decision or outcome | 15 |

| | | |
|-----|---|-------------------------------------|
| 4. | Responsibilities..... | 15 |
| 5. | Implementation and Review | 16 |
| 6. | Resources and related documents | 16 |
| | Related documents..... | 16 |
| | Related legislation/standards..... | 17 |
| 7. | Definitions | 17 |
| 8. | Document Information..... | Error! Bookmark not defined. |
| 9. | Version History..... | Error! Bookmark not defined. |
| 10. | List of Annexures | Error! Bookmark not defined. |
| | Annexure 1: Complaint Types | Error! Bookmark not defined. |
| | Annexure 2: Complaint Reason Tree Selection | Error! Bookmark not defined. |

1. Purpose

The purpose of this procedure is to:

- provide Workers with the framework for the processing and resolution of complaints in a timely, efficient and standardised manner,
- provide Workers with a framework for processing reviews on decisions,
- ensure procedural fairness in the management of complaints and review of decisions,
- identify how HOME in PLACE track the number and type of complaints received,
- show how we use complaints to learn what we need to do to improve our work and help prevent the recurrence of similar complaint issues through the continuous improvement of Home in Place' services.

HOME in PLACE NZ is committed to providing fair and just review of its services and decisions to tenants, applicants, residents, families, carers, Partners, Workers and other Stakeholders. By ensuring that complaints are addressed effectively, promptly and fairly.

This procedure outlines HOME in PLACE NZ's handling of complaints, gathering of information related to client enquires and the way in which we store and log such data are important requirements in meeting our standards under the HOME in PLACE Client Service Charter and our responsibilities under HOME in PLACE NZ policies. The procedure is also in accordance with the best practices set out in Standard 6.6 of the Best Practice Guide (Fourth edition - April 2011), Community Housing Aotearoa (CHA).

2. Scope

Clients of HOME in PLACE NZ include applicants of housing assistance seeking services from HOME in PLACE NZ, or tenancies managed by HOME in PLACE NZ.

External Parties to the organisation seeking to provide feedback about HOME in PLACE NZ's service delivery (for example – Landlords, Members of Local Parliament, representatives from Regional Local Councils, local tenant's protection and local support agencies and representative bodies etc.).

This procedure is intended to apply to any complaint, regardless of who makes it with the following exceptions which have separate procedures:

- Neighbourhood disputes and difficulties, including accusations of anti-social behaviour, are covered by HOME in PLACE POL-8025-04 Management of Antisocial Behaviour Policy (NZ) & HOME in PLACE PROC-8006 Management of Antisocial Behaviour Procedure (NZ)
- Complaints and grievances by HOME in PLACE' Workers against other HOME in PLACE Workers are dealt with in HOME in PLACE POL-028 Workplace Relations Policy Manual ("Grievance Policy ref P38").
- Complaints involving allegations of fraud, corruption, misconduct and financial wrongdoing are managed in accordance with HOME in PLACE POL-8013 Fraud and Corruption Policy (NZ), HOME

in PLACE POL-005-06 Financial Wrongdoing Policy and HOME in PLACE PROC-033 Investigation Procedure.

- Complaints received from the Community Housing Regulatory Authority (CHRA NZ) are managed in accordance with section 3 of this Procedure (Procedure > MP, Ministerial & CHRA NZ Complaints/Enquiries)
- Appeals about decisions made by HOME in PLACE which are dealt with in HOME in PLACE Internal Review and POL-8001 Appeals Policy (NZ)

Anonymous complaints can be lodged, recorded and investigated however, HOME in PLACE NZ's ability to investigate and act on anonymous complaints may be limited.

The process for handling child complaints may be generally managed in accordance with this policy however refer to HOME in PLACE POL-003-02 Child Safeguarding Policy and HOME in PLACE PROC-012-02 Child Friendly Complaint Handling Procedure for additional requirements for managing child complaints.

3. Procedure

HOME in PLACE NZ is committed to tenants', applicants', members of the community and/or other stakeholders' rights and will provide an effective complaints procedure that benefits the tenant, applicant, member of the community and/or other stakeholder and HOME in PLACE in the long term, by providing a process for feedback and review that informs effective decision making for service improvement. HOME in PLACE has written documentation that demonstrates a clear commitment to:

- the rights of tenants to respectful, fair and non-discriminatory treatment
- the provision of safe and secure housing
- privacy
- protecting personal information, and
- providing access to complaints and appeals processes

Context

Complaint

A complaint is where a tenant, applicant, resident, Partner, member of the community or other stakeholder expresses dissatisfaction with an area of service delivery, over which HOME in PLACE NZ has direct control.

A complaint may be made by a person to whom we deliver services or who is affected by our services which relates to our Workers, Partners, Associates and anyone else acting on behalf of HOME in PLACE NZ.

There are 6 phases involved in managing a complaint made to HOME in PLACE NZ:

- Receiving a complaint;
- Assessing a complaint;
- Gather information;
- Actions taken to address a complaint;
- Outcome and system improvement; and

Neighbourhood Disputes and Anti-Social Behaviour

This procedure does not apply to areas that HOME in PLACE does not have direct control over, including but not restricted to:

- Neighbour disputes
- Accusations of disruptive behaviour
- Reports of criminal behaviour
- Noise and nuisance
- Domestic violence Monitoring effectiveness and reporting.

It is noted that HOME in PLACE NZ can only act on the Breaches of the Residential Tenancy Agreement for

which appropriate action will be taken in accordance with Anti-Social Behaviour Policy and Procedure. Refer to HOME in PLACE POL-8006 Management Antisocial Behaviour Policy (NZ) and HOME in PLACE PROC-8006 Management Antisocial Behaviour Procedure (NZ) for information about managing anti-social behaviour, neighbour disputes, nuisance and annoyance.

MP, Ministerial & CHRA NZ Complaints/Enquiries

Ministerial Complaint

Complaints which are made directly to HOME in PLACE by way of Ministerial correspondence or contact are managed by the Executive Manager Registration and Compliance not the Complaints officer.

However, these complaints are responded to according to the allocated timeframe and appropriately actioned within 24 hours from the time a request for information by the Minister is received by Home in Place. A ministerial complaint would be received, acknowledged and recorded in Greentree using:

Operations Service Request / Problem Code: Op.Ministerial

Community Housing Regulatory Authority (CHRA NZ)

From time to time the Community Housing Regulatory Authority NZ (CHRA NZ) may receive complaints and allegations relating to dissatisfaction with HOME in PLACE NZ's compliance with the Public and Community Housing Management Act and Public and Community Housing (Community Housing Provider) Regulations.

These complaints are acknowledged, investigated and responded to by the Executive Manager Registration and Compliance as delegated by the Group Managing Director. When a complaint from

CHRA NZ is received it is lodged in the HOME in PLACE online system for compliance, incident, and risk management.

Local MP Complaints

These complaints are acknowledged, investigated and responded to by the GM NZ. An MP complaint would be recorded in Greentree using:

Operations Service Request / Problem Code: Op.MP Enquiry

Privacy Complaint

A person may make a complaint if they feel their personal information has been handled inappropriately by HOME in PLACE, refer **HOME in PLACE NZ POL-8019 Privacy Policy (NZ)**. Privacy complaints are managed in accordance with HOME in PLACE NZ Complaints Management and this procedure. If a complainant is not satisfied with HOME in PLACE NZ response or the way HOME in PLACE NZ has dealt with the complaint, the individual may make a formal written complaint to the [Office of the Privacy Commissioner \(OPC\)](#).

Where there has been a notifiable data breach an incident report will be lodged via the HOME in PLACE online compliance, incident and risk management system in accordance with HOME in PLACE POL-036 ICT Breach Management Policy.

Complaints including allegations of fraud, corruption, or misconduct

The Group Chief Legal Officer is appointed as the HOME in PLACE Fraud Officer. Complaints including allegations of fraud, corruption, misconduct are required to be lodged via an incident form in the Incident, Risk, Compliance and Information Platform and actioned in accordance with HOME in PLACE NZ POL-8013 Fraud and Corruption Policy (NZ), HOME in PLACE POL-005-06 Financial Wrongdoing Policy and HOME in PLACE PROC-033 Investigation Procedure. The person responsible for managing the complaint is responsible for lodging the incident form.

If the complaint is from an Eligible Whistleblower refer to HOME in PLACE NZ POL-8034 Whistle Blower Policy (NZ) for whistle blower protections and provisions that apply to the complaint investigation.

Complaints Regarding Non-HOME in PLACE NZ Neighbours

Where a complaint is received from a tenant about problems being experienced with a neighbour, HOME in PLACE NZ will assist the tenant by providing information to the tenant on methods of dispute resolution, such as:

- communication with their neighbour;
- intervention by local authorities including Local Councils, bodies corporate;
- intervention by the police; and
- any available mediation processes, including Regional Community Law Centres; NZ Dispute Resolution Centre (NZDRC) etc.

HOME in PLACE NZ will expect the tenant to initiate action after being given contact information to resolve any dispute and HOME in PLACE NZ will not act as an advocate or third party in such disputes.

Substantiated Complaints or Ongoing Disruption Complaints against HOME in PLACE NZ's Tenants

- Substantiated complaints or ongoing disruption complaints against HOME in PLACE NZ tenants include serious disputes which involve anti-social behaviour which is persistent or intentional, represents a nuisance and causes interference with the peace, comfort, or privacy of others.
- HOME in PLACE NZ takes all complaints seriously and will investigate every complaint about anti-social behaviour involving any household member or visitor. HOME in PLACE NZ will investigate any claims as per HOME in PLACE NZ's Anti-Social Behaviour Procedures.
- HOME in PLACE NZ is not able to investigate alleged criminal activity as this is outside of HOME in PLACE NZ's jurisdiction. HOME in PLACE NZ will liaise with local police in cases involving alleged criminal activity and HOME in PLACE NZ's employees may need to assist the Police in a criminal investigation

Managing a Complaint

The following information outlines the procedure to guide HOME in PLACE NZ Worker's in managing a complaint. There are five phases involved in managing a complaint:

| # | Phase | GreenTree Status of SR |
|---|--|--|
| 1 | Receive and Record | C1.Receipt of Complaint |
| | | C2.Acknowledge |
| 2 | Assess and Prioritise | C3.Investigate and Review |
| 3 | Investigate, Document and Action | |
| 4 | Outcomes and System Improvement | |
| 5 | Monitoring Effectiveness and Reporting | C5.Complaint Investigation Finalised |
| | | C6.Send to Complaints Officer for Review |
| | | C7.Complaint Reviewed and Finalised |

1. Receive and Record

The primary function of receiving /recording a complaint is to ensure that the complainant receives acknowledgement that their complaint is being addressed and it is recorded in Greentree and, if required, in the Incident, Risk, Compliance and Information platform for further action.

Greentree is the primary tool for the electronic collection of data in relation to complaints. Employees are required to record complaint details within Greentree in accordance with the NG-119 Complaint Service Request Navigation Guide. The record created is known as a **Complaint Service Request (SR)**.

- **Available mediums to lodge a complaint:** A complaint can be lodged with HOME in PLACE via any mode of communication. Examples include
 - Telephone 0800 124 663
 - Writing Hand delivered to a HOME in PLACE Branch or posted to:
Attn: HOME in PLACE Complaints Officer
P O Box 58, WICKHAM NSW AUSTRALIA 2293
 - Email complimentsandcomplaints@homeinplace.org
 - Via the website <https://homeinplacenz.org/feedback-and-appeals-1>

- As far as practicable, reasonable assistance should be provided to people who wish to make a complaint. Such assistance may include for example, providing an interpreter or referring them to a support person who can assist them with putting their complaint in writing if a complainant has language difficulties or is visually or hearing impaired.
- **Receiving a complaint:** When receiving a complaint, it is important that the complainant feels heard and their complaint is acknowledged and not trivialised. Effective management of a complaint in the initial stages may prevent a complaint escalating.

NOTE: *When raising a Complaint SR in GreenTree, the user should assign the complaint status as “C1.Receipt of Complaint” this will ensure the Complaint SR appears in the Complaint Officer’s “SR’s For My Action” on their Greentree desk.*

- **Acknowledging a complaint:** Should a complaint be received via writing, fax, email or website, the complainant should be contacted, and their complaint acknowledged in writing (either by post or via email). Should the complaint be received in person or over the phone, the person taking the complaint i.e., the Customer Service Office (CSO) should request contact details from the complainant (including a phone and/or email/postal address). The complaint will be lodged and documented in Greentree and a reference number will be generated. This number is to be issued as an acknowledgement and to reassure the complainant that investigation and appropriate action will be taken.

All complaints must be acknowledged in writing, either by sending an email or posting a letter, within three (3) working days of the complaint being received by HOME in PLACE NZ.

NOTE: *The Complaint Officer will acknowledge the complaint and issue a Letter of receipt to the complainant, either by post or via email (NOTE copies of template letters are located on the L-Drive). At this stage of the Complaint Handling Process, the SR Status in GreenTree is “C2.Acknowledge”*

Following the acknowledgement of the complaint, the Complaint Officer will assign the Complaint SR to the appropriate Manager (Executive/Group/General) in GreenTree and update the status of the SR To “C3.Investigate and Review”. The Complaint SR will now appear in the user’s Action Items on their GreenTree desk.

- **Documenting a complaint:** All complaints are to be documented in HOME in PLACE’s Greentree system via a Service Request. It is important to inform the complainant that information will be recorded and documented so the complaint can be dealt with in the most effective way.
- **Privacy and personal information:** When collecting personal information, an employee must provide the Privacy Notice to the complainant and any other person that may be requested to provide personal information while investigating the complaint. The privacy notice must be given to the complainant if practicable, before the collection of the personal information, or as soon as practicable after the collection. Complainants may access, change or update any personal information HOME in PLACE holds about them, subject to the New Zealand Privacy Act (2020).

- **Confidentiality:** Confidentiality will always be respected and maintained within the constraints of the need to fully investigate a complaint, subject to any legal authorisation or requirements for disclosure and consistent with the principles of natural justice.

HOME in PLACE NZ will accept anonymous complaints and investigate these as practically possible. They may be lodged in writing or accepted as an oral statement. Complainants will be encouraged to provide as much information as possible. Anonymous complaints will be treated with the same priority as other complaints.

When communicating with a complainant, it is important to collect as much information as possible, including:

- the complainant’s name, address, email, and best contact number
- identifying whether they are a HOME in PLACE tenant, resident, applicant, support/authorised person or a member of the community
- the basis of their complaint; ask for dates, time and place of any associated events
- if the complaint is about a HOME in PLACE Worker, ask for the Worker’s name; if they are not able to provide this information, ask for a description of the Worker and what service was being provided at the time
- the name and, if possible, contact details of any witnesses
- how the incident has affected the person
- any further information or evidence that supports the complaint and will assist in the assessment and resolution process, and
- any relevant documentation relating to the complaint should be scanned and attached to the Complaint Service Request.

2. Assess and Prioritise

On raising a Complaint Service Request, a priority status needs to be applied to the complaint for it to be processed appropriately. Determination of this status is based on what level of management is required to resolve the complaint. HOME in PLACE NZ Workers are empowered to resolve issues where possible at first point of contact.

Please refer to *Annexure 1: Complaint Types*

| Low priority Complaint | Moderate priority Complaint | High priority Complaint |
|--|--|---|
| <ul style="list-style-type: none"> • May relate to a single issue. • Involves minimal risk to the complainant, department or engaged service provider. • Will require a formal investigation; and • Will be suitable for local resolution. | <ul style="list-style-type: none"> • May relate to one or more issues. • Involves a reasonable degree of risk to the complainant, organisation or engaged service provider. • Will involve a more detailed investigation; and, • Should involve consultation as to whether it will be suitable for local resolution. | <ul style="list-style-type: none"> • May involve a serious or significant risk to the complainant, organisation or engaged service provider. • Will involve a formal investigation; and, • Is not suitable for local resolution. |

| Low priority Complaint | Moderate priority Complaint | High priority Complaint |
|---|--|---|
| Low priority complaints would usually be handled by an Executive Manager, or delegate. | Moderate priority complaints would usually be handled by an Executive Manager, or delegate. | High priority complaints must be handled by a Group Executive Manager (GEM) or Executive Manager. GEM or Executive Manager may assign the investigation to an appropriate officer; however, the GEM or Executive Manager must sign off on the outcome of the complaint. |
| The Executive Manager may assign the investigation to an appropriate officer; however, the Executive Manager must sign off on the outcome of the complaint. | The Executive Manager may assign the investigation to an appropriate officer; however, the Executive Manager must sign off on the outcome of the complaint | |

Reason for Complaint being Raised

In addition to the Complaint Problem type being selected (from the Main Tab in GreenTree). Complaints regarding HOME in PLACE NZ should also record the reason for the complaint being raised. This is done from the “Custom” Tab in GT. Refer to *Annexure 2 Complaint Reason Tree Selection*

3. Investigate, Document and action

Investigating

HOME in PLACE may undertake various methods to gather information to substantiate a complaint. The investigation process must be objective, reasonable and conducted in good faith. Decisions must be made on the weight of evidence and on the balance of probabilities. Investigating a complaint may include:

- clarifying the details provided in a complaint
- identifying actions taken to resolve the issue before the complaint was lodged
- gathering and analysing information from relevant file notes, correspondence and/or other sources
- reviewing applications submitted by the complainant
- reviewing documentation submitted by the complainant
- reviewing previous administrative decisions or actions
- interviewing complainants, Workers and/or other individuals involved in the complaint
- reviewing relevant policies, procedures and/or legislation, and
- reviewing previous complaints about the same issue.

Records of each investigation should contain all correspondence, including file notes of telephone conversations, interviews, and findings from investigations, recommendations, and internal approvals. The file should also contain evidence of the steps taken to investigate the complaint including a summary of actions in respect of recommendations (if any) made.

All information will be gathered and recorded in Greentree against the Complaint Service Request and if required in the incident, Risk, Compliance, and Information Platform for CHRA NZ complaints/enquiries. Any relevant documentation / evidence that has been gathered should be scanned/saved and attached to the Complaint Service Request. This process will assist should the complaint need to undergo an Internal Review.

It should be recognised that complex matters may require a more detailed, structured investigation to be conducted and this should be communicated to the relevant parties.

Actions Taken to Address a Complaint

Following completion of the investigation into the complaint, the investigation findings are to be recorded and a written response drafted.

NOTE: *template letters for written responses are accessed from within the Complaint SR in Greentree and navigating to the L Drive.*

The resolution of a complaint should include:

- **Acknowledgement** – of how the complainant has been affected and their expectations of a quality service
- **Apology** – for some people, a genuine apology may be all or part of what is sought
- **Answers** – an explanation of what happened or the provision of information that may be needed to address the complainant’s concerns
- **Action** – agreements on steps to address the concern and improve services.

If the complaint has been found to be substantiated or partially substantiated, details of remedial actions to be taken should be provided to the complainant in the written response. If the complaint is unsubstantiated, the reason for this decision must be provided to the complainant in writing.

NOTE: During the review process, consideration should be given to what remedy and systems improvement may be required. The Executive Manager will review the outcome of the complaint and draft a response letter. The response letter must be generated by the Assigned User from Greentree using the letter templates provided. The response letter needs to be attached to the Complaints Service Request via the attachments field in the right-hand menu.

The Complaint Service Request status can now be changed to “C5.Complaint Investigation Finalised”

The response letter for Ministerial and CHRA NZ Enquiries must be written in a factual professional manner and attached to either the Ministerial Service Request or the Incident, Risk, Compliance, and Information Platform.

Where possible the complainant should also be advised of the resolution via telephone by the Executive Manager responsible. Telephone contact however does not eliminate the requirement to provide a written response (via post or email) which is sent by the Complaints officer.

Response Times / Resolution

Complaints will be investigated as quickly as possible. Complaints that relate to a simple matter should be finalised within seven days and a maximum of 30 days. In general, HOME in PLACE NZ will acknowledge, investigate and respond to all complaints within fifteen (15) working days.

HOME in PLACE acknowledges that some complaints may require a more detailed investigation and, therefore, will result in more extended time for resolving the complaint. In these circumstances, the extended time for resolving the complaint will be communicated to the complainant.

Complainants must receive written acknowledgement and advice about the outcome of their complaint within required timeframes.

Ministerial Complaints - Complaints which are made directly to HOME in PLACE NZ by way of Ministerial correspondence or contact must be responded to according to the allocated timeframe and appropriately actioned within **24 hours** from the time a request for information by the Minister is received by HOME in PLACE NZ by way of assigning a follow-up to the GM NZ to request information on required questions. A ministerial complaint coming from the Minister will be deemed received on the date the Minister forwards the complaint to HOME in PLACE NZ.

Once the GM NZ has responded to the required questions the Registration and Compliance Department will draft a response and forward to the GM NZ for approval to send.

Privacy and Confidentiality - Any complaint that is made about a privacy issue will be completed within 60 days.

Finalisation

The draft resolution response is reviewed by the Complaints Officer to determine all aspects of the complaint have been investigated/addressed and relayed satisfactorily to the complainant. As previously mentioned, the resolution letter should address:

- Acknowledgement
- Apology
- Answers
- Action

Complainants must receive written acknowledgement and advice about the resolution of their complaint within required timeframes (see previously listed time frames).

The response must include information about further steps they can take if they are dissatisfied with the resolution of a complaint such as referral to the:

- The Tenancy Tribunal for disputes relating to Tenancy Agreements in New Zealand.
- Privacy Commissioner for complaints about Privacy complaints

NOTE: *Once the Complaint Officer is satisfied that the complaint has been responded to adequately, they will issue a copy of the final Closing/Resolution letter to the complainant. A copy of the final letter and/or email sent should be attached to the Complaint SR. A solution is selected from the drop-down menu and a Solution Summary is added to the Complaint SR. The status is then changed to "C6.Send to Complaints Officer for Review"*

The Complaint Manager conducts a final review of the complaint, ensuring all relevant information is documented. Once satisfied that the complaint can be finalised, they update the status of the SR to "C7.Complaint Reviewed and finalised "

Finalisation Ministerial Request

The Registration and Compliance Unit will forward the Ministerial Response on behalf of the GM NZ and ensure all documentation including responses and approvals are attached to the Service Request in Greentree.

4. Outcomes and System Improvement

When developing system improvement recommendations, consideration should be given to the extent the action will:

- prevent the recurrence of similar complaints
- improve service delivery

System improvements can include:

- policy and procedure change
- practice review, and
- Worker training and other professional development activity may also be recommended.

Remedial action that may be appropriate and reasonable to remedy errors and deficiencies in service include (for example):

- an explanation
- a change in decision
- formal or informal dispute resolution
- an apology, and/or
- written warning letter or notice to remedy breach, and
- correction of any misleading or incorrect records.

Executive Managers are to take into consideration the complaint monitoring reports and are responsible for investigating the validity and applicability of the recommendations made by the Complaints Officer in informing corrective actions or continuous improvement strategies.

5. Monitoring Effectiveness and Reporting

Recording of complaints information allows identification of any trends or system issues to inform improvements to the services we provide.

On request of the GM NZ, the Complaints Officer - GES will prepare a quarterly Complaint Summary Report which includes:

- Date opened / closed
- SR reference #
- Complaint Type
- Reason for complaint being raised
- Summary of resolution

The Complaints reporting function (for HOME in PLACE Group) is performed by the Complaints Officer, Group Executive Services (GES) in accordance with HOME in PLACE PROC-012-01 Complaint Handling Procedure.

Retention of records

Greentree is the primary tool for the electronic collection of data, however, accurate records relating to complaints must be maintained within each respective area of responsibility.

Complaint Management Responsibilities

| Role | Responsibilities |
|--|--|
| Group Executive and Executive Management | <p>Group Executive and Executive Management are responsible for the following;</p> <ul style="list-style-type: none"> • Ensuring that the complaints management process and objectives are established within HOME in PLACE; • Ensuring that the complaints management process is planned, designed, implemented, maintained and continually improved in accordance with the complaints management policy of the organisation; • Identifying and allocating the management resources needed for an effective and efficient complaints management process; • Ensuring the promotion of awareness of the complaint's management process and the need for a customer focus through HOME in PLACE; • Ensuring that information about the complaint's management process is communicated to customers, complainants, and, where applicable, other parties directly concerned in an easily accessible manner; • Appointing a complaints management representative and clearly defining his or her responsibilities and authority in addition to the responsibilities and authority set out below; • |
| Executive Manager Group Executive Services | <ul style="list-style-type: none"> • Ensuring that there is a process for rapid and effective notification to top management of any significant complaints; • Periodically reviewing the complaints management process to ensure that it is effectively and efficiently maintained and continually improved. • Closing out of complaints • Establishing a process of performance monitoring, evaluation and reporting; • Reporting to top management on the complaint's management process, with recommendations for improvement; • Maintaining the effective and efficient operation of the complaint's management process, including the training of appropriate personnel, technology requirements, documentation, setting and meeting target time limits and other requirements, and process reviews |
| Complaints Officer Group Executive Services | <p>The complaints officer is responsible for the following:</p> <ul style="list-style-type: none"> • Triaging of complaints received • Follow up of complaints investigation • Review of complaints close out letters • Administration of the complaint's procedure and process • Administration of complaints in Greentree and • Notification to complainant of outcome of complaint • Upon resolution of complaint, forwarding via Greentree process to EMGES for review and closure • Regular monthly and quarterly reports as required |
| Other managers | <p>Other managers involved in the complaint's management process should, as applicable within their area of responsibility, be responsible for the following:</p> <ul style="list-style-type: none"> • Ensuring that the complaints management process is implemented; • Liaising with the complaint's management representative; |

| Role | Responsibilities |
|--------------------------|--|
| | <ul style="list-style-type: none"> Ensuring the promotion of awareness of the complaint's management process and of the need for a customer focus; Ensuring that information about the complaint's management process is easily accessible; Reporting on actions and decisions with respect to complaints handling; Ensuring that monitoring of the complaint's management process is undertaken and recorded; Ensuring that action is taken to correct a problem, prevent it happening in the future, and that the event is recorded; Ensuring that complaints management data are available for the executive management review. |
| Frontline Workers | <p>All Workers in contact with clients and complainants are to:</p> <ul style="list-style-type: none"> Be able to take a client or stakeholder complaint; Comply with any complaints management reporting requirements determined by HOME in PLACE; Treat clients and stakeholders in a courteous manner and promptly respond to their complaints or direct them to the appropriate individual, and; Show good interpersonal and good communication skills. |
| All Workers | <ul style="list-style-type: none"> Be aware of their roles, responsibilities and authorities in respect of complaints; Be able to record a complaint or enquiry in accordance with HOME in PLACE policies and procedures; Be aware of what procedures to follow and what information to give to complainants, and; Report complaints which have a significant impact on the organisation. |

Appealing a decision or outcome

Those complaints which are appealable decisions are listed in HOME in PLACE NZ POL-8001 Appeals Policy (NZ) and PROC-8002 Appeals Management procedure (NZ)

4. Responsibilities

All HOME in PLACE NZ workers have an obligation to:

- familiarise themselves with and ensure they have a clear understanding of HOME in PLACE NZ policies and procedures,
- observe and implement such policies, and associated procedures in delivering services to HOME in PLACE NZ clients,
- inform HOME in PLACE NZ's clients of the impact of this policy on them and assist them to understand their rights and obligations, as required,
- identify issues that require amendment to this policy document and complete the relevant documentation to propose any amendments, and
- report breaches of HOME in PLACE NZ's policies or procedures.

The relevant Group Executive Manager is ultimately responsible to:

- ensure all stakeholders within their area of responsibility are informed about HOME in PLACE NZ Policies and Procedures,
- ensure appropriate processes and controls are implemented to enable the correct application of and adherence to relevant policies and procedures, and
- ensure appropriate processes and controls are implemented to enable breaches of approved HOME in PLACE NZ's Policy and Procedures to be reported and managed

5. Implementation and Review

This policy is listed on HOME in PLACE NZ's Controlled Documents Register and is a controlled document requiring approval of any changes. It may not be amended or shared outside HOME in PLACE NZ without approval. The policy is reviewed regularly and published on HOME in PLACE NZ's SharePoint intranet once approved. Employees receive communications and, if necessary, training on new and reviewed policies and procedures.

HOME in PLACE NZ complies with relevant contractual compliance obligations and jurisdictional laws and regulations when implementing this policy. Confirmation of internal compliance with this policy is undertaken regularly.

It is the responsibility of HOME in PLACE Group Executive Services to maintain and update the HOME in PLACE NZ's Master Policy Document, Policy Directory and the Policy Review Register, administer the review and approval process and inform and distribute new and amended policies and procedures once approved (refer PROC-011 Policy and Procedure Development Approval).

HOME in PLACE NZ Workers should refer to SharePoint Company Documents Policy and Procedure site for the latest version which takes precedent over any uncontrolled version. If this document is printed, downloaded, or saved elsewhere from this site it becomes an uncontrolled version.

For further information contact the Responsible Officer listed under Document Information.

6. Resources and related documents

Related documents

- POL-028 Workplace Relations Policy Manual
- POL-8013 Fraud and Corruption Policy (NZ)
- POL-005-06 Financial Wrongdoing Policy
- PROC-033 Investigation Procedure
- POL-8001 Appeals Policy (NZ)
- POL-003-02 Child Safeguarding Policy
- PROC-012-02 Child Friendly Complaint Handling Procedure
- POL-8025-04 Management of Antisocial Behaviour Policy (NZ)
- PROC-8006 Management of Antisocial Behaviour Procedure (NZ)
- POL-028 Workplace Relations Policy Manual

- POL-8013 Fraud and Corruption Policy (NZ)
- POL-005-06 Financial Wrongdoing Policy
- PROC-033 Investigation Procedure
- POL-8006 Management Antisocial Behaviour Policy (NZ)
- POL-8019 Privacy Policy (NZ)
- POL-036 ICT Breach Management Policy
- POL-8034 Whistle Blower Policy (NZ)
- NG-119 Complaint Service Request Navigation Guide
- PROC-012-01 Complaint Handling Procedure
- PROC-8002 Appeals Management procedure (NZ)

Related legislation/standards

- [Best Practice Guide for Community Housing in Aotearoa NZ \(4th edition- April 2011\)](#)
- [NZ Privacy Act \(2020\)](#)
- [Office of the Privacy Commissioner \(OPC\)](#)
- [NZ Dispute Resolution Centre \(NZDRC\)](#)
- [Public and Community Housing Management Act 1992](#)
- [Public and Community Housing \(Community Housing Provider\) Regulations 2014](#)

7. Definitions

Please refer to HOME in PLACE Glossary of Definitions for Policies and Procedures. Terms and definitions identified below are specific to this procedure and are critical to its effectiveness:

| Term | Definition |
|------------------------------|---|
| Anti-Social Behaviour | Anti-social behaviour is behaviour that lacks consideration for others and may cause damage to the society, whether intentionally or through negligence. It can encompass a range of activities or actions such as intoxication, loitering and general nuisance behaviour that interferes with other people/person. |
| Appeals | An appeal is defined as 'any expression of dissatisfaction with a decision made by a social housing provider to provide or not provide a service (such as housing, transfer or priority on the housing register) or, a decision relating to a tenant or service user's dissatisfaction of a decision made by the organisation. An application for a decision to be reversed or overturned. Includes but is not limited to: • Allocation decisions; • Level of rent or rent subsidy; • Eligibility for a housing transfer; • Permission to undertake modifications; • Permission to keep pets; • Calculation of water charges; |
| Client | A person or group that uses the professional advice or services of a lawyer, accountant, advertising agency, architect, etc. A person who is receiving the benefits, services, etc., of a social welfare agency, a government bureau, etc. A customer. |
| Complainant | Person with a Complaint ongoing with HOME in PLACE. |
| Complaints | An expression of dissatisfaction with an aspect of the services provided by HOME in PLACE NZ, where the complainant is unhappy with the standard or type of service. Types of Complaint include: <ul style="list-style-type: none"> • Where HOME in PLACE NZ have failed to provide or there has been a delay or problem in providing a service; |

| Term | Definition |
|--|---|
| | <ul style="list-style-type: none"> • Where HOME in PLACE NZ have failed to follow or have been unfair or inconsistent in applying our policies or procedures. • Where HOME in PLACE NZ have failed to keep Tenants informed, through lack of or insufficient information • Where there has been inappropriate behaviour or attitude from a HOME in PLACE NZ worker or independent contractor. |
| Compliment | <p>A compliment is an expression of satisfaction about Home in Place NZ's employees, services or contractors on a specific occasion or relating to a particular matter. However, a compliment may also be in relation to a general feeling of satisfaction with Home in Place NZ due to the service you have received over a period of time.</p> <p>Compliments provide relevant workplace examples that can be used in Home in Place NZ's client service training.</p> |
| Customer Satisfaction | A Customer's perception of the degree to which the customer's requirements have been fulfilled |
| Director | Has the same meaning as defined in the Companies Act 1993 Part 1 Section 2 Interpretation . |
| Disputes | Relate to wide neighbourhood issues, such as difficulties with neighbours or accusations of antisocial behaviour. Often, these are areas that Home in Place NZ does not have direct control over, which is why it is covered under Dealing with Anti-Social Behaviour Procedure |
| Employee | A person engaged under an employment agreement or award by any company in the HOME in PLACE Group. |
| Enquirer (also referred to as inquirer) | An enquirer is a person who seeks information by asking a question; |
| Enquiry | An enquiry refers to a client's request for information related to the services or the request for assistance of services which Home in Place NZ provides. An enquiry can be received by phone, postal mail, fax, or other electronic transmission. |
| Executive Manager | Many positions within HOME in PLACE include the title "Executive Manager". Regardless of whether an Executive Manager heads a Business Unit, the delegated authority of each Executive Manager depends on the functions and reporting relationship of the Business Unit for which the Executive Manager is responsible. Executive Managers should refer to the document HOME in PLACE Organisational Chart in Terms of Levels of Delegated Authority for confirmation of the band of authority they hold. |
| HOME in PLACE (New Zealand) | HOME IN PLACE (NEW ZEALAND) LIMITED (formerly Compass Housing Services (NZ) Co Ltd) is registered in New Zealand under the Companies Act and as a charity registered with Charities NZ under the Charities Act |
| HOME in PLACE Group | The corporate structure that includes HOME in PLACE (as the Parent Company) and the boards of Subsidiary Companies, Governance Committees and advisory groups as created from time to time. |
| Independent contractor | means a party engaged directly by HOME in PLACE pursuant to a contract for services. In the context of workforce engagements, this includes sole traders, companies, or partnerships with whom HOME in PLACE enters into an agreement for the provision of specified individuals to supply specific skills, services, or consultancy arrangements. It does not include individuals engaged through labour hire agencies. Independent contractors are not employees of HOME in PLACE. |

| Term | Definition |
|---|--|
| Officer | Has the same meaning as defined in the Companies Act 1993 Part 1 Section 2 Interpretation in New Zealand |
| Parent Board | The current directors of HOME in PLACE. |
| Parent Company | HOME in PLACE |
| Priority | A status established in order of importance or urgency; |
| Service Request (SR) | A key component of an actionable service catalogue, a service request management is the underlying workflow and processes that enables a service request to be reliably submitted, routed, approved, monitored, and delivered. |
| Service Request Management (SRM) | Is the process of managing a service request through its lifecycle from submission through delivery and follow-up. As set up in Greentree a user calls a help desk to request a service and help desk personnel create a service ticket to route the service request. These systems also typically enable users to track the status of their service requests, and management to monitor service delivery levels for quality control purposes. |
| Stakeholder | person or organisation that can affect, be affected by, or perceive themselves to be affected by a decision or activity, may also be called 'interested party'. |
| Subsidiary Boards | The appointed board of directors of a Subsidiary Company. |
| Subsidiary Company | A company in which HOME in PLACE owns all or at least a majority of the shares. |
| Suggestion for Improvement | Suggestions about services provided by Home in Place NZ and how these may be improved. |
| User | any person or entity that use HOME in PLACE Information or ICT Assets. |
| Worker (New Zealand) | HOME in PLACE NZ have adopted the New Zealand Health and Safety Act (2015) Section 19's definition of a 'worker' where the term is used in policy. The definition of a 'worker' includes an individual who carries out work in any capacity for a PCBU, including work as: <ul style="list-style-type: none"> • an employee; or • a contractor or subcontractor; or • an employee of a contractor or subcontractor; or • an employee of a labour hire company who has been assigned to work in the business or undertaking; or • an outworker (including a homeworker); or • an apprentice or a trainee; or • a person gaining work experience or undertaking a work trial; or • a volunteer worker; or • a person of a prescribed class. |