

## COMPLAINT NOTIFICATION

Dear (line manager),

Please find below a notification that has been received by Curtin's Integrity and Standards Unit (ISU). *NB: This matter has been copied to relevant stakeholders for information and action where required.*

### Complaint handling overview

I have determined that you are the most appropriate decision maker to address this matter. If not, please contact me as soon as possible to discuss who the appropriate person might be. Please refer to the [Conflict of Interest procedures](#) before proceeding if you are unsure if your participation in the process creates a conflict.

As the assigned line manager, there are a number of important steps that should be followed in resolving any complaint. These are detailed in the document [Line Manager Guidelines – How to effectively deal with complaints](#) which you may find helpful. The steps are summarised below.

### **Conduct preliminary checks and assessment**

1. Decide if you are the most appropriate person to deal with the subject matter of the complaint.
2. Formally acknowledge receipt of the complaint with the complainant and commence work as soon as possible (**no later than 5 working days**). The acknowledgement should outline the complaint process and provide contact details.
3. As a general rule, you should commence addressing a complaint assigned to you **within 10 working days**.
4. If possible and where relevant, take time to make contact with the complainant to discuss their concerns. This can be done over the phone or by meeting with the complainant.
5. Assess whether the complaint identifies any personal safety or security concerns or other immediate health, safety or other risks in the workplace.
6. Take sufficient time to review and assess the subject matter of the complaint, and what the complainant is seeking.

### **Undertake enquiry and review**

1. Consult relevant policies, procedures, other documentation, the Staff Enterprise Agreement, appropriate policy advisers / subject matter experts, witnesses and other staff (where necessary).
2. Identify the most appropriate means to promptly inform the respondent that they are the subject of a complaint that has been received.
3. Review all relevant information obtained, including the respondent's response to the complaint and information provided by other parties.

### **Make a decision and implement it**

1. Make an informed decision on the merits of the matter and the most appropriate next course of action.
2. Note and address any systemic, procedural, cultural, training or communication issues.
3. Formally communicate your decision to the **complainant** via a [Complaint Resolution Letter](#)
4. Formally communicate your decision to the **respondent** via email or a letter to the respondent (where relevant)
5. At the conclusion of the process, please complete the [Complaint Handling Checklist](#) and forward all correspondence relating to the matter to [complaints@curtin.edu.au](mailto:complaints@curtin.edu.au)

### Complaint Subject Matter

The process involved in addressing a complaint is affected by the subject matter of that complaint. As such, please take time to read your complaint carefully and consider whether one or more of the following apply. (NOTE: these are explained in more detail in the Line Manager Guidelines)

**Does this matter concern alleged workplace bullying by staff?** If so, s62.3.4 of the [Curtin University Academic, Professional and General Staff Enterprise Agreement 2012 – 2016](#) (the Agreement) requires that you investigate the matter promptly, confidentially and impartially. In addition, please consult with your HRBC (Human Resource Business Consultant) for guidance.

**Does this matter concern alleged staff misconduct / inappropriate behaviour?** If so, you are required to deal with matters concerning a staff member's conduct through initial enquiry into the matter(s) and resolution at the local level as per s74.5.1 of the Agreement. Again, please consult with your HRBC for guidance. **IMPORTANT NOTE: You must immediately refer the complaint to your Executive Manager** if at any time during the process you find yourself in a situation where one or more of the conditions described under s74.5.2 of the Agreement arise.

**Does this matter concern alleged research misconduct?** If so, please be aware that the University is required to comply with the *Australian Code for the Responsible Conduct of Research* in addressing research misconduct matters. For more information, refer to the [Research Management Policy](#) and the University's designated officer under the Code (the DVC R&D).

## Integrity and Standards Unit (ISU)



**Does this matter concern possible breaches of University legislation and regulations?** If so, managers have a duty to uphold and monitor compliance within their area of responsibility. Please refer to the following links for further information on monitoring and reporting compliance breaches.

<https://policies.curtin.edu.au/>

<https://policies.curtin.edu.au/legislation/externallegislation.cfm>

**Does this matter involve interpersonal conflict or issues related to equal opportunity?** If so, please consider first contacting either the Consultant, EESJ Services on extension 5714 for assistance in managing conflict in the workplace or [eesj@curtin.edu.au](mailto:eesj@curtin.edu.au) for information on your rights and responsibilities under equal opportunity legislation.

**Does this matter involve a personal grievance?** Where a matter involves allegations of inappropriate or unfair action, behaviour or a decision which have adversely affected the complainant in their dealings with the University, then use the Line Manager guidelines as the framework for assessing the veracity of the complaint and coming to a resolution.

If you require clarification or assistance in relation to any of the above described matters, please do not hesitate to contact me.