A complainant who registers a complaint may be:
1. Staff
2. Student
3. Other e.g. public, external agency
4. Anonymous
5. Someone acting as a proxy for the complainant (e.g. the ISU)

**COMPLAINANT**

**Delay Handling Key**:
- Each coloured process connector has a key structure of e.g. x:y where x is the flowchart page no. and y is the unique point on the page e.g. 1:A means go to (or come from) Flowchart 1, point A.
- Red text and shapes indicate steps required to deal with breaches of the Australian Code for the Responsible Conduct of Research (the Code).

**Flowchart 1 - General Complaint Handling Process (manual processes)**

- **Complainant**
  - Enter complaint via web-based Complaints portal
  - Complainant automatically stored in the backend CMS

- **Complaint Management Consultant**
  - Determine most appropriate person (usually a Line Manager) to resolve complaint
  - Determine other parties to receive complaint
  - Copy PBP / PCC into email
  - Copy Director HEMS into email
  - Review response sent to complainant (where relevant)
  - Email feedback to appropriate officer for information or action

- **Director ISU**
  - Review and accept Complaint classification
  - Set data fields associated with meeting reporting obligations under the CCA Act
  - Set critical incident score based on incident Alert Matrix
  - Contact Chairs of SSCR teams where safety, security or wellbeing issues
  - Potential Serious Misconduct issue?
  - Potential Staff Misconduct matter?
  - Interpersonal conflict/dispute?

- **Line Manager (or other person assigned to resolve complaint, e.g. a DO under the Code)**
  - Review Complaint Notification email
  - Accept complaint?
  - Complainant Acknowledgement email sent to complainant by the CMS
  - Complainant Acknowledgement email
  - Refer matter to PBP in People and Culture
  - Refer to Line Manager Guidelines for effectively dealing with complaints

**NOTE:**
- Acceptance of complaint and automatic generation of email to complainant should occur within 5 working days of receiving the complaint.
- The Line Manager may have received the allegations in writing from the Director ISU as per above process.
- Accept complaints?
- ISU automatically informed via the CMS

**COMPLAINTANT**

**Potential breach of the Code matter?**

- Copy Director ISU to consider if email distribution should be delayed
- Obtain approval from Director ISU before distributing email

- **Potential non-compliance matter?**
  - Contact VC and/or relevant Executive / Senior Managers where necessary to inform them
  - Meet with Director P&I, General Counsel and Director ISU to form allegations (if possible)

**NOTE:**
- It may be necessary to delay issuing the email where a serious misconduct matter is still being dealt with by the Director ISU (see below). In such cases, the ISU will contact the Line Manager and PBP to inform them of the situation.

**Potential Staff Misconduct matter?**

- Investigate / resolve complaint
- Formulate a response to the complainant

**NOTE:**
- The Line Manager may have received the allegations in writing from the Director ISU as per above process.

**Potential workplace bullying matter?**

- Review with Line Manager – send back for action to be taken
- Close off complaint

**Potential workplace bullying matter?**

- Complainant registration email generated (with Complaint ID)

- **COMPLAINTANT**
  - Delay email distribution?
  - Copy Executive Manager, Designated Officer (the DVC R) and Manager Research Integrity into email

**NOTE:**
- Each coloured process connector has a key structure of e.g. x:y where x is the flowchart page no. and y is the unique point on the page e.g. 1:A means go to (or come from) Flowchart 1, point A.