HS731 External Complaints Procedure

Policy Hierarchy link
- Work Health and Safety Act 2011
- Work Health and Safety Regulation 2011
- Work Health and Safety Policy

Responsible Officer
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Superseded Documents
OHS 731 External Complaints Procedure V1.0

File Number
2012/03103

Associated Documents
N/A

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1. Purpose and Scope
This procedure outlines the system by which the University of New South Wales (UNSW) will facilitate the reporting, recording, handling and response to feedback from external stakeholders on Health and Safety (HS) matters.

This process applies to complaints/feedback that:
- UNSW receives from an external stakeholder;
- is directly related to a HS matter; and
- relates to a matter falling under the management and control of the University.

This process is not applicable where the external stakeholder has already requested that the University investigate or review the matter using another review, complaint or grievance process, including the Staff complaint procedure or the Student complaint procedure.

2. Definitions
- **External Stakeholder**: a third party affected by UNSW operations, for example; suppliers, customers, contractors, clients, regulatory bodies, neighbours or members of the public.

- **Formal External HS Complaint**: formal written complaint/feedback directed to the HS Manager about a HS matter falling under the management and control of UNSW.

- **HS matter**: A matter in which plant, equipment, chemicals, substances, systems of work or a workplace, may pose a risk to the health and safety of a person or persons; or, a matter related to the University HS legislative obligations.

- **Informal External HS Complaint**: Verbal or written complaint/feedback directed to a local representative of UNSW about an HS matter falling under the management and control of the local area for which the representative is responsible.
3. Procedure

3.1 Lodging a complaint

3.1.1 Concern identified by external stakeholder
When an external stakeholder identifies a HS matter that is under the management and control of UNSW, the matter can be raised:
- informally with an appropriate UNSW representative, or
- formally, in writing to the UNSW HS Manager.

3.2 Informal external HS complaint
When raising a matter directly with a UNSW representative responsible for the HS matter, the following information needs to be provided by the external stakeholder:
- Name and contact details of the external stakeholder;
- Relationship of the external stakeholder to UNSW (see definitions)
- Details of the complaint;
- Details of the action/s that the external stakeholder wishes the University to take.

The UNSW representative shall review the feedback and confirm that the feedback is within the scope of this process. If the feedback is outside the scope of this process, then the UNSW representative shall advise the external stakeholder and, if possible, suggest other processes either within the University, or external to the University.

If the feedback falls within the scope of this process, the UNSW representative shall review the matter and attempt to reach a resolution, in consultation with any other relevant local and external stakeholders. The UNSW representative should then communicate with the person who raised the complaint.

If the matter is successfully resolved, then it will be considered closed.

A formal external HS complaint can be lodged if:
- the matter is not successfully resolved, or
- the external stakeholder was unable to identify a UNSW representative responsible for the HS matter in question.

3.3 Formal external HS complaint
A formal HS complaint is to be made in writing to the HS Manager where an external stakeholder has identified a HS matter that is under the management and control of UNSW, and in relation to this the external stakeholder wishes the University to take action. The following details need to be provided:
- Name and contact details of the external stakeholder;
- Relationship of the external stakeholder to UNSW;
- Details of the complaint, including, where relevant:
  - location, personnel involved and time/date;
  - the plant, equipment, chemicals, substances, systems of work, workplace involved or behavior involved.
- Details of the action(s) that the external stakeholder wishes the University to take.

The HS Manager shall review the complaint to determine whether sufficient information has been provided for the feedback to be considered.
- If sufficient details have been provided, the HS Manager shall proceed to the next stage of the process.
- If insufficient information has been provided, the HS Manager shall advise the external stakeholder of the nature of the additional information needed.

The HS Manager shall review the complaint and confirm that it is within the scope of this process.
• If the feedback is within the scope of this process, the HS Manager shall proceed to the next stage of the process.
• If the feedback is outside the scope of this process, then the HS Manager shall advise the external stakeholder why the complaint is outside the scope and, where possible, suggest other more suitable processes, either within the University, or external to the University.

The HS Manager shall review the complaint to determine the most appropriate area(s) within the University to address the management and control of the matter, such as Facilities Management, a UNSW Faculty.

• If the matter is within the management and control of a single UNSW area, the HS Manager shall refer the complaint to a suitable Management Representative of that area for consideration and response.
• If the matter is not within the management and control of a single UNSW area, the HS Manager shall coordinate the response between the different areas.

3.4 Records to be kept

3.4.1 Informal external complaints
The UNSW representative must ensure that a record is maintained of any informal external HS complaints received. Records include details of the complaint and the complainant, outcomes from investigations, decisions made, personnel involved, corrective actions taken, notification to the complainant and details of any follow-up.

Where the problem was not able to be eliminated, a follow up of the corrective actions needs to be done at a future, pre-determined and mutually agreeable time.

3.4.2 Formal external complaints
The HS Manager must ensure that records of all formal external HS complaints are maintained. Records include the original complaint, any correspondence related to the complaint, details of meetings and investigations, decisions made, personnel involved, corrective actions taken, notification to the complainant, and details of any follow-up.

Where the problem was not able to be eliminated, a follow up of the corrective actions needs to be done at a future, pre-determined and mutually agreeable time.

4. Review & History
This procedure will be reviewed in accordance with the OHS Management Review Procedure.

5. Acknowledgements
National Self Insurer HS Audit Tool V2.0
University of Melbourne

Appendix A: History

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