

Purpose

Sirv is committed to ensuring that all participants, as well as their families, carers, advocates, and other stakeholders, are fully informed about and have easy access to our complaints management and resolution system. We recognise the importance of creating an environment where feedback—whether positive or negative—is actively encouraged and valued.

Complaints and other feedback are seen as opportunities to listen, learn, and improve our services. Every concern raised is treated with respect, promptly acknowledged, and carefully managed to ensure fair and satisfactory resolutions. We aim to foster trust by handling feedback transparently and upholding the principles of procedural fairness and natural justice.

Through open communication and a supportive approach, Sirv ensures all parties feel heard and empowered to voice their concerns without fear of repercussions. This commitment forms the foundation of our continuous effort to enhance service quality and deliver better outcomes for everyone we support.

1. Scope

- This Policy applies to Sirv Trading Pty Ltd and Sirv Aged Care Pty Ltd
- All permanent, fixed term and casual staff, contractors and volunteers are required to take full responsibility for ensuring full understanding of the commitments outlined in this Policy.
- The relevant persons specified in the column corresponding to a procedure described in this Policy have the responsibility to implement the relevant systems, procedures, workflows and other strategies referred to in the relevant procedure.

2. Related Documentation

This policy and procedure must be read in conjunction with:

- *Feedback and complaints Criteria for Complaint Manager or Incident Manager*
- *Feedback and complaints Procedural fairness Considerations*
- *Feedback and complaints form*
- *Complaint Investigation and outcome overview*

3. Definitions

Term	Definition
Complaint	An expression of dissatisfaction with a support or service, including how a previous complaint was handled, for which a response or resolution is explicitly or implicitly expected.
Feedback	Feedback refers to any information, opinions, or suggestions provided by stakeholders—including clients, employees, families, carers, or the general

	community—about the services, operations, or practices of an organisation.
Participant	Anyone receiving services from Sirv
Complaint Manager	A designated individual within an organisation responsible for overseeing the handling, investigation, and resolution of complaints. Their role ensures that complaints are addressed fairly, efficiently, and in alignment with organisational policies and regulatory requirements.
A Complainant	An employee, client, advocate, entity, member of the public or other person who expresses their dissatisfaction about Sirv to either the organisation itself or an external body.
Key Management Personnel	Refers to individuals who hold authority and responsibility for planning, directing, and controlling the activities of an organization, either directly or indirectly. These personnel are typically senior executives or officers and play a significant role in the governance and strategic management of the organisation.
Legislation Register	A Legislation Register is a centralised document or database that lists all relevant laws, regulations, standards, and other legal obligations applicable to an organization’s operations.
Worker	Means a permanent, fixed term or casual member of staff, a contractor or volunteer employed or otherwise engaged by Sirv and includes the Principal and Key Management Personnel.

4. Policy Statement

Sirv aims to ensure:

- a system to manage and resolve complaints is maintained that follows principles of procedural fairness and natural justice and complies with the requirements under the Aged Care Act 2024 and Aged Care Code of Conduct and *National Disability Insurance Scheme (Complaints Management and Resolution) Rules 2018 (Complaints Management System)*;
- Clients have knowledge of and access to the Complaints Management System.
- Clients are provided with information on how to give feedback or make a complaint, including avenues external to the provider, and their right to access advocates.
- complaints and other feedback made by all parties are welcomed, acknowledged, respected and well-managed.
- all clients, and their families, carers, representatives, and advocates are encouraged and supported to provide feedback, provide compliments, or raise any concerns they have about Sirv’s service or organisation including making complaints.

- all feedback and complaints are handled promptly, fairly, efficiently, and effectively through our complaints management system. Where a complaint meets the definition of a reportable incident under the National Disability Insurance Scheme (Incident Management and Reportable Incidents) Rules 2018 or the Aged Care Act 2024 Serious Incident Response Scheme (SIRS), the matter will also be managed in accordance with Sirv's Incident Management System and reported to the relevant regulatory body where required.
- that we provide a satisfactory resolution to complaints within a reasonable timeframe.
- appropriate actions are taken to improve our services where required and that we provide better outcomes to our stakeholders.
- there is demonstrated continuous improvement in complaints and feedback management by regular review of complaint and feedback policies and procedures, seeking of client/participant views on the accessibility of the Complaints Management System, and incorporation of feedback throughout the provider's organisation; and
- all Workers are aware of, trained in, and comply with the required procedures in relation to complaints handling.

5. Who can make a complaint?

Any of Sirv's clients, families, carers, advocates, statutory bodies, government agencies, stakeholders, Workers, or any other person may make a complaint to or about Sirv, its practitioners, employees, contractors, volunteers and other Workers.

6. Process for making complaints.

How to make a complaint

The Quality Risk and Compliance Manager or delegate will be responsible for receiving any email and postal correspondence and managing the receipt and resolution of complaints in accordance with this policy and procedure.

A person wishing to make a complaint may do so:

- in person to any Sirv staff member
- by email to hello@sirv.com.au
- on our website <https://sirv.com.au>. This can also be done anonymously
- by post to: PO Box 1006, Milton, Queensland 4064; or
- verbally by telephone to 1300 408 123. This can be done anonymously

7. How to make a complaint to the NDIS Commission

A complaint can be made to the NDIS Commission by:

- Phoning: 1800 035 544 (free call from landlines) or TTY 133 677. Interpreters can be arranged.

- National Relay Service and ask for 1800 035 544.
- Visiting <https://www.ndiscommission.gov.au/about/complaints> and completing a complaint contact form.

The NDIS Commission can take complaints about:

- services or supports that were not provided in a safe and respectful way.
- services and supports that were not delivered to an appropriate standard.

You can make a complaint to the NDIS Commission on an anonymous basis.

8. How to make a complaint to the Aged Care Safety Commission

You have a right to make a complaint about an aged care provider, worker or responsible person. This includes making a complaint about them not meeting their obligations.

Making a complaint can improve your quality of care and help other people with the same problem. You can make a confidential or anonymous complaint if you want.

You can choose to make a complaint online, by phone or in writing.

By phone

You can call on:

1800 951 822 for general complaints

1800 844 044 for food, nutrition and dining complaints.

In writing

You can write to us at:

Aged Care Quality and Safety Commission
GPO Box 9819, in your capital city

Interpreter

If you need an interpreter, you can ask us to arrange one when you call. Or, you can contact one of these services and ask them to help you contact us:

- Translating and Interpreting Service (TIS) – 131 450
- Aboriginal Interpreter Service (AIS) – 1800 334 944
- If you have a hearing or speech impairment, you can contact us through the National Relay Service:
 - TTY users: call 1800 555 677 then ask for our number 1800 951 822
 - Speak and Listen users: call 1800 555 727 then ask for our number 1800 951 822

- Internet relay users: connect to the National Relay Service and enter 1800 951 822.

9. Support and assistance in relation to making complaints.

All Workers are responsible for ensuring appropriate support and assistance is provided to any person in connection with this Complaints Management System including any person who wishes to make, or has made, a complaint by:

- providing accessible information to complainants (including the Feedback and Complaints Summary and this Complaints Management System) in relation to how to make a complaint.
- providing a safe environment for a complainant to make a complaint or provide negative feedback without fear of adverse consequences, retribution, or loss of service as a result of making a complaint.
- treating all complainants with respect, recognising that the complaint is important to the complainant.
- maintaining the confidentiality of parties involved in the complaint
- facilitating the participation of an advocate or other representative or support person in connection with the discussion and resolution of a complaint, if required.
- complying with this Complaints Management System and the Feedback and Complaints Summary.
- advising complainants and potential complainants in relation to how a complaint or issue may be raised with the NDIS Commission and giving appropriate support and assistance to people affected by an issue raised in a complaint to contact the NDIS Commission.
- appropriately responding to complaints, acknowledging, assessing, and resolving the matter in a fair, efficient and timely manner with as little formality as a proper consideration of the complaint allows.
- taking action in relation to issues raised in complaints.
- if a serious risk is identified, taking corrective action.
- keeping parties to the complaint appropriately involved and informed of the progress of the complaint.
- ensuring that feedback and complaints data (both positive and negative) is considered in training and in planning service and support delivery.
- ensuring the complaints process is procedurally fair and follows the principles of natural justice as set out in the *NDIS (Procedural Fairness) Guidelines 2018*; and
- reviewing and evaluating the accessibility and effectiveness of the Complaints Management System and continually improving its processes.

10. Protection for worker disclosures

- Workers are supported by the Key Management Personnel to report incidents and complaints. There are no negative consequences for Workers in doing so.
- All Workers are advised that they can make a complaint on behalf of a person, parent/guardian, or child to Sirv or to the NDIS Commission.
- All Workers are required to comply with this Complaints Management Process and be aware of their roles and responsibilities in receiving, supporting, managing, and resolving incidents and complaints.

11. Conflict of Interest and Complaint Escalation

If the complaint is about:

A person other than the Quality, Risk, and Compliance Manager (QRC Manager):

- The complaint will be managed by the QRC Manager.
- If the QRC Manager identifies a potential conflict of interest or deems it inappropriate to manage the complaint personally, the complaint will be referred to the General Manager.

The Quality, Risk, and Compliance Manager:

- The complaint will be managed by the General Manager.

Avoiding Conflicts of Interest:

- If necessary to prevent conflicts of interest or the appearance of bias, more than one person may act in a complaint-handling role, ensuring fairness and impartiality.
- For complaints involving multiple parties, additional personnel may be assigned to assist with resolution.

Further Review:

- If the complainant is not satisfied with the investigation or proposed resolution, they can request a further review by the General Manager (or an equivalent Senior Staff Member who has not previously been involved in the matter).
- The reviewing manager will follow the established complaints procedure to ensure a fair and thorough process.

12. Procedure for resolving complaints.

The Policy is supported by the following Procedures which are intended to clarify the responsibilities of the board, Principal, Key Management Personnel, Workers, and other persons and make explicit the underlying principles of the Policy.

Overview

- Any Worker at Sirv may be a recipient of a complaint. However, in all cases, the Complaint Manager is primarily responsible for managing the process and resolution of complaints in accordance with this policy.
- The Complaint Manager will use all reasonable endeavours to complete the following process (Complaints Process) within 21 days. The Complaint Manager will keep the complainant up to date on progress of the Complaints Process, particularly if there are any delays. It may be appropriate for the Complaints Process to be extended to ensure relevant parties are afforded procedural fairness.
- The Complaints Process is to be applied in receiving and resolving all complaints at Sirv but the individual elements and actions the Complaint Manager decides to take may be tailored to each complaint (subject to any legislative requirements).
- As part of the handling of a complaint under the Complaints Process, procedural fairness must be afforded to a person (including a Worker) if their rights or interests may be adversely or detrimentally affected.

12.1 Verbal complaint

In the case of a verbal complaint, the recipient of a complaint should:

- genuinely listen to the complainant, their support person or advocate.
- make sure the complainant feels comfortable.
- acknowledge how the situation has affected the person.
- thank the complainant for making the complaint.
- take detailed notes of the complainant and the complaint including whether the complaint is specifically about the conduct of identifiable Workers or about the provision of supports and services that incidentally identify Workers.
- encourage and offer support to the complainant to confirm their verbal complaint in writing by filling out a Feedback and Complaint Form, or sending an email to hello@sirv.com.au
- At the time of acknowledging the complaint, the recipient of the complaint should also ask the complainant if they would like any additional support or assistance in relation to making, discussing, and resolving the complaint or if they would like any family member, carer or advocate to be involved in the discussion and the Complaints Process.

- If a Worker at Sirv other than the Quality Risk and Compliance Manager receives a complaint, they must immediately notify and provide to the QRCM all information known to the Worker about the complainant and the complaint including any notes regarding a verbal complaint taken by the recipient or the written complaint itself.

12.2 Record the complaint

- The Complaint Manager shall register the complaint in the complaints register maintained in the Quality Management System.
- The Complaint Manager shall update the complaint record in the complaints register at each material step of this Complaints Process.

12.3 Acknowledgement of complaint

- The Complaint Manager shall acknowledge the complaint within 3 days of it being received. Consideration will be given to the most appropriate medium (e.g. email, letter, and phone) for acknowledgement and all further communications with the complainant.
- To the extent that the Complaint Manager acknowledges a complaint verbally, they should also provide written acknowledgement.
- When acknowledging the complaint, the Complaint Manager shall also indicate to the complainant a time frame for discussion, investigation (if required) and resolution.
- If the complainant had previously indicated to Sirv that they require an advocate or representative to be involved in their dealings with Sirv, the Complaint Manager will:
 - enquire as to whether an advocate (including an independent advocate) or representative will be included in the Complaints Process; and
 - if an advocate or representative is to be involved, offer to facilitate arrangements for such an advocate (including an independent advocate) or other representative to be included in the Complaints Process.
- If a person with disability affected by an issue raised in a complaint has a decision maker advocate or substituted or informal decision maker, these people should be included and recognised and raised as potential support persons or interested parties in any discussion and resolution of the complaint.
- The Complaint Manager will confirm whether the issue(s) raised in the complaint are within Sirv's control. The Complaint Manager will also consider the potential outcome(s) that may be sought by the complainant (if not known) and, where there is more than one issue raised, determine whether each issue needs to be separately addressed.
- When determining how a complaint will be managed, the Complaint Manager will consider:
 - the nature of the matter being dealt with.
 - how serious, complicated, or urgent the complaint is.
 - whether the complaint is specifically about the conduct of an identifiable Worker(s) or about the provision of supports and services that incidentally identify Workers.

- if about the conduct of identifiable Worker(s):
 - (A) whether confidentiality can be maintained consistently while affording procedural fairness to the Worker(s); and
 - (B) which (if not all) of the procedural fairness considerations set out in the Sirv Procedural Fairness Considerations document should be afforded to the Worker(s).
- whether the complaint raises concerns about people's health and safety.
- how the complainant or person with disability is being affected.
- the risks involved if the resolution of the complaint is delayed.
- whether facts in issue are in dispute and investigations are required.
- the options for resolving the matter.
- the gravity of possible findings that may be reached.
- the sanctions that could be imposed based on those findings.
- whether a resolution requires the involvement of other organisations; and
- the Sirv Assessment, Investigation and Resolution considerations document.

12.4 Discuss the complaint

- The Complaint Manager shall organise a time to discuss the complaint with the complainant (and any advocate or support person). Depending on the severity of the complaint, the Complaint Manager has the discretion to determine to undertake an investigation of the complaint prior to discussing the complaint.
- Consideration should be given to the most appropriate medium for the discussion (in person, via video chat or on the telephone).
- During this discussion, the Complaint Manager should:
 - genuinely listen to the complainant, their support person or advocate and provide the complainant with a reasonable opportunity to present their complaint, without interrupting.
 - make sure the complainant feels comfortable.
 - acknowledge how the situation has affected the complainant and any person with disability.
 - ask the complainant what a good outcome to the complaint would look like for them.
 - not dismiss the complaint on a view of the facts that is not raised with or apparent to the complainant; and
 - identify any material information relevant to the complaint provided by the complainant or any other person which was shared on a confidential basis (or may be confidential in nature). If it would be difficult to maintain confidentiality while resolving the complaint, for procedural fairness reasons, inform the complainant of this difficulty and ascertain if the complainant wishes for the Complaints Process to continue.

12.5 Immediate Resolution

The Complaint Manager shall explain to the complainant and any family member, carer, representative or advocate that the complainant wishes to be involved in the Complaints Process, the next steps that will be taken in response to the complaint.

Depending on the type and severity of the complaint, the Complaint Manager shall either:

- discuss with the complainant an immediate resolution to the complaint (for smaller matters); or
- conduct further investigations in relation to the complaint.

If the complaint is specifically about the conduct of identifiable Worker(s) or any other person where adverse action could be taken in relation to the person, the Complaint Manager shall organise a time to discuss the complaint with the Worker(s) or other person.

In such circumstances, the Worker(s) or such other person:

- must be given a reasonable opportunity to be heard and to put forward information and submissions in support of an outcome that is favourable to their interests; and should be afforded procedural fairness by the Complaint Manager, who should adopt some or all of the considerations set out in the Sirv Procedural Fairness considerations document

12.6 Assess the complaint

After assessing the complaint (and potentially, discussing the complaint with the complainant) the Complaint Manager will consider whether an investigation is required in which case, the Complaint Manager may (among other things):

- give the complainant an explanation as to whether an investigation will occur.
- gather information about the issue, person, or area that the complaint is about
- investigate the claims made in the complaint

If the complaint is about the conduct of an identifiable Worker(s) or may involve a person's rights or interests being adversely or detrimentally affected in a direct and specific way as a result of or in connection with the complaint:

- an investigation must occur as part of the Complaints Process.
- the Worker(s) or such other person must be given a reasonable opportunity in a fair and impartial manner to be heard on those matters before adverse action is taken, and to put forward information and submissions in support of an outcome that is favourable to their interests; and
- the Worker(s) or such other person should be afforded procedural fairness including by the Complaint Manager adopting some or all of the considerations set out in the Sirv Procedural Fairness Considerations document.

- The Complaint Manager shall inform the complainant in writing within 10 days of the complaint being received of what is being done to investigate and resolve it, and the expected time frame for resolution.

12.7 Take appropriate action in relation to the complaint.

- The Complaint Manager shall make a decision in respect of the complaint. The Complaint Manager should have regard to the Sirv Assessment, Investigation and Resolution considerations document when making a decision.
- Prior to making any adverse finding, the Complaint Manager should provide any Worker against whom an adverse finding may be made:
 - with a reasonable opportunity to comment on the proposed adverse finding; and
 - with procedural fairness including by the Complaint Manager adopting some or all the considerations set out in the Sirv Procedural Fairness Considerations document.
- The Complaint Manager or an external investigator should have regard to the Sirv Assessment, Investigation and Resolution considerations document when investigating.
- Depending on the findings from the investigations, the Complaint Manager may have further discussions with the complainant, Workers and other interested parties.
- Any adverse finding should be soundly based on the facts and issues that were raised during the Complaints Process.

The Complaint Manager shall inform the complainant of the outcome and the reasons for any decisions made including:

- the outcome of the complaint and any action taken.
- the reason(s) for the decision; and
- the remedy or resolution(s) proposed or put in place.

If an apology is in order, the Complaint Manager shall ensure that the appropriate person makes the apology and informs the complainant why the situation arose and what the organisation intends to do to avoid further grievance in respect of the subject matter of the complaint

12.8 Rights to the review of complaints

The complainant and any affected person with a disability should be notified that if they are not satisfied with the investigation and proposed resolution of the complaint, they can seek a further review of the matter by requesting a review in writing to hello@sirv.com.au

13. Referral to NDIS Commission

If the complainant is still not satisfied with the outcome after a review of the complaint has been completed, the complainant should be referred to the NDIS Commission and provided information and support to make the complaint externally if necessary, including whether they would like such information to be provided to any family member, carer, representative or advocate.

In this regard, Sirv shall take reasonable steps to ensure that the complainant and each person with disability affected by an issue raised in the complaint, is advised how that complaint or issue may be raised with the NDIS Commission by:

- (A) referring them to the Feedback and Complaints Summary previously provided to them and explaining to them that such document includes information about how complaints may be raised with the NDIS Commission.
- (B) directing them to NDIS Commission Complaints Website; and

asking the complainant if they require any support or assistance in raising the complaint with the NDIS Commission including whether they would like the Feedback and Complaints Summary, this Policy or any other information to be provided to any family member, carer, representative or advocate.

14. Training Procedures

- All Workers will be trained in receiving complaints, the NDIS Code of Conduct requirements and the NDIS Worker Orientation Module.
- All Workers will be trained on the Complaints Management System during their induction, and as part of ongoing refresher training and/or when processes change.

15. Privacy and Confidentiality

Sirv will take reasonable steps to ensure that information provided in a complaint and during the Complaints Process is kept confidential and only disclosed if required by law or if the disclosure is otherwise appropriate in the circumstances. Without limiting the generality of the above, Sirv considers that it would be appropriate to disclose such confidential information in the following circumstances:

- the disclosure of the complaint related information is to the Principal, Key Management Personnel, Complaint Manager, an employee, contractor, or other Worker who is directly or indirectly involved in the Complaints Process.
- the disclosure of the complaint related information is to a lawyer or other advisor of Sirv.
- the disclosure of the complaint related information is reasonably required to enable a complaint is to be properly investigated; or
- the disclosure of the complaint related information is to the NDIS Commission, the police or otherwise required by law.

16. Record keeping

A register of complaints will be kept in a complaint register for a minimum of seven years after the complaint has been made. The register will be maintained by the Quality Risk and Compliance Manager and will record the following for each complaint or appeal:

- details of the complainant and the nature of the complaint.

- date lodged.
- action taken (and in the event of adverse action, any facts and issues that were raised during the Complaints Process and upon which the adverse action was based);
- date of resolution and reason for decision.
- indication of the complainant being notified of the outcome; and
- complainant response and any further action.
- Copies of all correspondence will be kept on the relevant Client's file.
- The complaints register and files will be confidential, and access will be restricted to the Principal, Key Management Personnel, and any Complaint Manager.
- A statistical summary of complaints will also be kept in and maintained by the Quality Risk and Compliance Manager or Key Management Personnel and reviewed annually. The Executive General Manager will be responsible for reporting complaints to the board at least annually.
- Results from this report will be reviewed by the Principal and Key Management Personnel and used to:
 - (1) inform training by including a review of complaints (on an anonymous basis) in complaints handling training activities; and
 - (2) inform service delivery by taking the learnings from training activities.

17. Finalising the Complaint outcome

To determine the outcome of a complaint, all gathered information must be reviewed and mapped out in the Complaint Investigation and Outcome Overview form where the following will be considered:

- The allegation(s)
- The responses provided (by all parties)
- The evidence gathered and assessed

The outcome for complaints will be determined as follows

17.1 Allegation Partially Substantiated

This means that:

- Some aspects of the allegation have been found to be true or supported by evidence, but other parts could not be confirmed or were found to be unfounded.
- It reflects a mixed outcome where the investigation has verified certain elements of the complaint while disproving or lacking sufficient evidence for others.
- Example: A staff member alleges workplace bullying, and the investigation confirms one instance of inappropriate behaviour but finds no evidence of systemic bullying.

17.2 Allegation Not Substantiated

This means that:

- The investigation did not find sufficient evidence to support the claim or allegation made.
- It does not necessarily mean the allegation is false but that there is not enough credible or verifiable information to confirm it.
- Example: A Participant alleges they were overcharged for services, but the investigation shows that all charges were correct and in line with the Service Agreement.

17.3 Allegation Substantiated

This means that:

- The investigation found sufficient evidence to confirm that the allegation is true or likely occurred as described.
- It usually results in action being taken to address the issue, such as implementing corrective measures, policy changes, or disciplinary action.
- Example: An employee alleges they were not paid in accordance with their award rate, and the investigation confirms a payroll error.

18. Open Disclosure Statement

Sirv is committed to a culture of honesty, transparency, and accountability. When things go wrong, we uphold the principles of Open Disclosure to ensure consumers, families, and representatives receive clear, timely, and compassionate communication.

We acknowledge every person's right to know what has happened, why it occurred, how it may affect them, and what actions are being taken to prevent it from happening again.

Open Disclosure includes:

- Timely communication with the consumer and/or their representative as soon as practicable after an incident, concern, or complaint is identified.
- A sincere apology or expression of regret, acknowledging the experience of the consumer without assigning blame.
- A factual explanation of what is known at the time, and ongoing updates as new information becomes available.
- An opportunity for the consumer and their representatives to ask questions, express their views, and be actively involved in the resolution process.
- A clear outline of actions taken to address the issue, reduce risk, and support the consumer's wellbeing.
- Documenting the open disclosure discussion, including key points raised, outcomes, and follow-up actions.

Sirv ensures staff are trained in open disclosure principles and apply them in line with the Aged Care Quality Standards, NDIS Practice Standards, and organisational values. Open disclosure is not optional—it is central to respectful, rights-based, person-centred care and is a required practice whenever incidents, complaints, or quality concerns arise.

19. Continuous improvement of the Complaints Management System

This Policy, the Complaints Management System, the Complaints Process, and the complaints register will be reviewed and evaluated by Key Management Personnel at least annually. This will include:

- a review of all complaint and feedback policies and procedures.
- implementation of a continuous improvement plan based on the review and feedback received.
- If and to the extent that the terms of this Policy are or would be inconsistent with the requirements of any applicable law, this Policy is deemed to be amended but only to the extent required to comply with the applicable law