

UNREASONABLE COMPLAINANT CONDUCT (UCC) POLICY

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Responsible Position Internal Ombudsman

Branch Executive Services

Division Executive Services

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Document Revision History	
Description	Date
This draft policy has been based on the NSW Ombudsman's Model Policy, and is designed to complement the NSW Ombudsman's publication, <i>Managing Unreasonable Complainant Conduct Practice Manual (2nd edition)</i> . It represents current best practice in the management of unreasonable complainant behaviour.	January 2018
Adopted by Council	26 February 2018
Notes	

1. PURPOSE

This policy has been developed to clarify Dubbo Regional Council's position regarding the management of Unreasonable Complainant Conduct (UCC). This policy is owned and administered by the Internal Ombudsman, as a means of assisting all staff members in their dealing of issues with complainants whose conduct may be considered 'unreasonable'.

This policy, if applied and followed adequately, seeks to ensure that Council applies a fair and consistent approach, supported with resources and guidance, with the full support and endorsement of Council and the Chief Executive Officer.

1.1 Statement of support

Dubbo Regional Council is committed to being accessible and responsive to all complainants who approach our Council for assistance and/or with a complaint. At the same time the success of Council depends on:

- our ability to do our work and perform our functions in the most effective and efficient ways possible
- the health, safety and security of our staff, and
- the ability to allocate Council's resources fairly across all the complaints it receives.

When complainants behave unreasonably in their dealings with Council, their conduct can significantly affect our success. As a result, Dubbo Regional Council will take proactive and decisive action to manage any complainant conduct that negatively and unreasonably affects us and will support our staff to do the same in accordance with this policy.

I authorise and expect all Dubbo Regional Council staff to implement the strategies provided in this policy.

[Signature]

Michael McMahon
Chief Executive Officer

2. OBJECTIVES

This policy has been developed to assist all staff members to better manage unreasonable complainant conduct ('UCC').

Its aim is to ensure that all staff:

- Feel confident and supported in taking action to manage UCC.
- Act fairly, consistently, honestly and appropriately when responding to UCC.
- Are aware of their roles and responsibilities in relation to the management of UCC and how this policy will be used.
- Understand the types of circumstances when it may be appropriate to manage UCC using one or more of the following mechanisms:
 - The strategies provided in the NSW Ombudsman publication, *Managing Unreasonable Complainant Conduct Practice Manual (2nd edition)* ('practice manual') including a number of suggested strategies to change or restrict a complainant's access to its services, and this policy has been devised to complement the practice manual.
 - Alternative dispute resolution strategies to deal with conflicts involving complainants and members of Council.
 - Legal instruments such as trespass laws/legislation to prevent a complainant from coming onto our premises and orders to protect specific staff members from any actual or apprehended personal violence, intimidation or stalking.
- Have a clear understanding of the criteria that will be considered before we decide to change or restrict a complainant's access to our services.
- Are aware of the processes that will be followed to record and report UCC incidents as well as the procedures for consulting and notifying complainants about any proposed actions or decisions to change or restrict their access to our services.
- Are familiar with the procedures for reviewing decisions made under this policy, including specific timeframes for review.

3. DEFINING UNREASONABLE COMPLAINANT CONDUCT

3.1 Unreasonable complainant conduct

Most complainants who approach Council act reasonably and responsibly in their interactions with us, even when they are experiencing high levels of distress, frustration and anger about their complaint. However in a very small number of cases some complainants behave in ways that are inappropriate and unacceptable – despite our best efforts to help them. They are aggressive and verbally abusive towards our staff. They threaten harm and violence, bombard our offices with unnecessary and excessive phone calls and emails, make inappropriate demands on our time and our resources and refuse to accept our decisions

and recommendations in relation to their complaints. When complainants behave in these ways we consider their conduct to be 'unreasonable'.

Unreasonable complainant conduct ('UCC') is any behaviour by a current or former complainant which, because of its nature or frequency raises substantial health, safety, resource or equity issues for Council, our staff, other service users and complainants or the complainant himself/herself.

UCC can be divided into five categories of conduct:

- a) Unreasonable persistence
- b) Unreasonable demands
- c) Unreasonable lack of cooperation
- d) Unreasonable arguments
- e) Unreasonable behaviours

a) Unreasonable persistence

Unreasonable persistence is continued, incessant and unrelenting conduct by a complainant that has a disproportionate and unreasonable impact on Council, staff, services, time and/or resources. Some examples of unreasonably persistent behaviour include:

- An unwillingness or inability to accept reasonable and logical explanations including final decisions that have been comprehensively considered and dealt with.
- Persistently demanding a review simply because it is available and without arguing or presenting a case for one.
- Pursuing and exhausting all available review options when it is not warranted and refusing to accept further action cannot or will not be taken on their complaints.
- Reframing a complaint in an effort to get it taken up again.
- Bombarding our staff/organisation with phone calls, visits, letters, and emails (including cc'd correspondence) after repeatedly being asked not to do so.
- Contacting different people within Council and/or externally to get a different outcome or more sympathetic response to their complaint – internal and external forum shopping.

b) Unreasonable demands

Unreasonable demands are any demands (express or implied) that are made by a complainant that have a disproportionate and unreasonable impact on Council, staff, services, time and/or resources. Some examples of unreasonable demands include:

- Issuing instructions and making demands about how we have/should handle their complaint, the priority it was/should be given, or the outcome that was/should be achieved.
- Insisting on talking to a senior manager or the *[Mayor / Chief Executive Officer / Director]* personally when it is not appropriate or warranted.
- Emotional blackmail and manipulation with the intention to guilt trip, intimidate, harass, shame, seduce or portray themselves as being victimised – when this is not the case.
- Insisting on outcomes that are not possible or appropriate in the circumstances – e.g. for someone to be sacked or prosecuted, an apology and/or compensation when no reasonable basis for expecting this.
- Demanding services that are of a nature or scale that we cannot provide when this has been explained to them repeatedly.

c) Unreasonable lack of cooperation

Unreasonable lack of cooperation is an unwillingness and/or inability by a complainant to cooperate with Council, staff, or complaints system and processes that results in a disproportionate and unreasonable use of our services, time and/or resources. Some examples of unreasonable lack of cooperation include:

- Sending a constant stream of comprehensive and/or disorganised information without clearly defining any issues of complaint or explaining how they relate to the core issues being complained about – only where the complainant is clearly capable of doing this.
- Providing little or no detail with a complaint or presenting information in ‘drips and drabs’.
- Refusing to follow or accept our instructions, suggestions, or advice without a clear or justifiable reason for doing so.
- Arguing frequently and/or with extreme intensity that a particular solution is the correct one in the face of valid contrary arguments and explanations.
- Displaying unhelpful behaviour – such as withholding information, acting dishonestly, misquoting others, and so forth.

d) Unreasonable arguments

Unreasonable arguments include any arguments that are not based in reason or logic, that are incomprehensible, false or inflammatory, trivial or delirious and that disproportionately and unreasonably impact upon Council, staff, services, time, and/or resources. Arguments are unreasonable when they:

- fail to follow a logical sequence
- are not supported by any evidence and/or are based on conspiracy theories
- lead a complainant to reject all other valid and contrary arguments
- are trivial when compared to the amount of time, resources and attention that the complainant demands
- are false, inflammatory or defamatory.

e) Unreasonable behaviour

Unreasonable behaviour is conduct that is unreasonable in all circumstances – regardless of how stressed, angry or frustrated that a complainant is – because it unreasonably compromises the health, safety and security of our staff, other service users or the complainant himself/herself. Some examples of unreasonable behaviours include:

- Acts of aggression, verbal abuse, derogatory, racist, or grossly defamatory remarks
- Harassment, intimidation or physical violence.
- Rude, confronting and threatening correspondence.
- Threats of harm to self or third parties, threats with a weapon or threats to damage property including bomb threats.
- Stalking (in person or online).
- Emotional manipulation.

All staff should note that Dubbo Regional Council has a zero tolerance policy towards any harm, abuse or threats directed towards them. Any conduct of this kind will be dealt with under this policy and in accordance with Council's duty of care and occupational health and safety responsibilities.

4. ROLES AND RESPONSIBILITIES

4.1 All staff

All staff are responsible for familiarising themselves with this policy as well as the *Individual Rights and Mutual Responsibilities of the Parties to a Complaint* in **Appendix 1**. Staff are also encouraged to explain the contents of this document to all complainants particularly those who engage in UCC or exhibit the early warning signs for UCC.

It must be emphasised that any strategies that effectively change or restrict a complainant's access to Council's services must be considered by the Chief Executive Officer, as provided in this policy.

Staff are also responsible for recording and reporting all UCC incidents they experience or witness (as appropriate) to the Chief Executive Officer within 24 hours of the incident occurring, using the Sample UCC incident form in **Appendix 2**. A file note of the incident should also be copied into Content Manager.

4.2 The Chief Executive Officer

The Chief Executive Officer, in consultation with relevant staff, has the responsibility and authority to change or restrict a complainant's access to Council's services in the circumstances identified in this policy. When doing so they will take into account the criteria below (adapted into a checklist in **Appendix 3**) and will aim to impose any service changes/restrictions in the least restrictive ways possible. Their aim, when taking such actions, will not be to punish the complainant, but rather to manage the impacts of their conduct.

When applying this policy the Chief Executive Officer will also aim to keep at least one open line of communication with a complainant. However, Council does recognise that in extreme situations all forms of contact may need to be restricted for some time to ensure the health and safety and security of Council staff and/or third parties.

The Chief Executive Officer is also responsible for recording, monitoring and reviewing all cases where this policy is applied to ensure consistency, transparency and accountability for the application of this policy. They will also manage and keep a file record of all cases where this policy is applied.

4.3 Directors and Senior Managers

All Directors and Senior Managers are responsible for supporting staff to apply the strategies in this policy. Directors and Senior Managers are also responsible for ensuring compliance with the procedures identified in this policy and ensuring that all staff members are trained to deal with UCC – including on induction.

Following a UCC and/or stressful interaction with a complainant, Directors and Senior Managers are responsible for providing affected staff members with the opportunity to debrief and vent their concerns either formally or informally. Directors and Senior Manager will also ensure that staff are provided with proper support and assistance including medical and/or police assistance and support through programs such as the Employee Assistance Program (EAP), if necessary.

Depending on the circumstances Directors and Senior Managers may also be responsible for arranging other forms of support for staff which are detailed in Section 12 of this policy.

5. RESPONDING TO AND MANAGING UCC

5.1 Changing or restricting a complainant's access to Council's services

UCC incidents will generally be managed by limiting or adapting the ways that Council staff interact with and/or deliver services to complainants by restricting:

- a) **Who they have contact with** – e.g. limiting a complainant to a sole contact person/staff member in Council.
- b) **What they can raise with us** – e.g. restricting the subject matter of communications that we will consider and respond to.
- c) **When they can have contact** – e.g. limiting a complainant's contact with Council to a particular time, day, or length of time, or curbing the frequency of their contact with us.
- d) **Where they can make contact** – e.g. limiting the locations where we will conduct face-to-face interviews to secured facilities or areas of the office.
- e) **How they can make contact** – e.g. limiting or modifying the forms of contact that the complainant can have with us. This can include modifying or limiting face-to-face interviews, telephone and written communications, prohibiting access to our premises, contact through a representative only, taking no further action or terminating our services altogether.

When using the restrictions provided in this section we recognise that discretion will need to be used to adapt them to suit a complainant's personal circumstances, level of competency, literacy skills, etc. In this regard, we also recognise that more than one strategy may need to be used in individual cases to ensure their appropriateness and efficacy.

a) Who – limiting the complainant to a sole contact point

Where a complainant tries to forum shop internally within Council, changes their issues of complaint repeatedly, reframes their complaint, or raises an excessive number of complaints it may be appropriate to restrict their access to a single staff member (a sole contact point) who will exclusively manage their complaint(s) and interactions with our office. This may ensure they are dealt with consistently and may minimise the chances for misunderstandings, contradictions and manipulation.

To avoid staff 'burn out' the sole contact officer's supervisor will provide them with regular support and guidance – as needed. Also, the Chief Executive Officer will review the arrangement every six months to ensure that the officer is managing/coping with the arrangement.

Complainants who are restricted to a sole contact person will however be given the contact details of one additional staff member who they can contact if their primary contact is unavailable – e.g. they go on leave or are otherwise unavailable for an extended period of time.

b) What – restricting the subject matter of communications that we will consider

Where complainants repeatedly send written communications, letters, emails, or online forms that raise trivial or insignificant issues, contain inappropriate or abusive content or relate to a complaint/issue that has already been comprehensively considered and/or reviewed (at least once) by Council, we may restrict the issues/subject matter the complainant can raise with us and which will be responded to.

For example, we may:

- Refuse to respond to correspondence that raises an issue that has already been dealt with comprehensively, that raises a trivial issue, or is not supported by clear/any evidence. The complainant will be advised that future correspondence of this kind will be read and filed without acknowledgement unless we decide that we need to pursue it further in which case, we may do so on our 'own motion'.
- Restrict the complainant to one complaint/issue per month. Any attempts to circumvent this restriction, for example by raising multiple complaints/issues in the one complaint letter may result in modifications or further restrictions being placed on their access.
- Return correspondence to the complainant and require them to remove any inappropriate content before we will agree to consider its contents. A copy of the inappropriate correspondence will also be made and kept for our records to identify repeat/further UCC incidents.

c) When – limiting when and how a complainant can contact us

If a complainant's telephone, written or face-to-face contact with Council places an unreasonable demand on our time or resources because it is overly lengthy (e.g. disorganised and voluminous correspondence) or affects the health safety and security of our staff because it involves behaviour that is persistently rude, threatening, abusive or aggressive, we may limit when and/or how the complainant can interact with us.

This may include:

- Limiting their telephone calls or face-to-face interviews to a particular time of the day or days of the week.
- Limiting the length or duration of telephone calls, written correspondence or face-to-face interviews. For example:
 - Telephone calls may be limited to [10] minutes at a time and will be politely terminated at the end of that time period.
 - Lengthy written communications may be restricted to a maximum of [15] typed or written pages, single sided, font size 12 or it will be sent back to the complainant to be organised and summarised – This option is only appropriate in cases where the complainant is capable of summarising the information and refuses to do so.
 - Limiting face-to-face interviews to a maximum of [45] minutes.
- Limiting the frequency of their telephone calls, written correspondence or face-to-face interviews. Depending on the nature(s) of the service(s) provided we may limit:
 - Telephone calls to [1] every two weeks/ month.
 - Written communications to [1] every two weeks/month.
 - Face-to-face interviews to [1] every two weeks/month.

For irrelevant, overly lengthy, disorganised or frequent written correspondence, Council staff may also:

- Require the complainant to clearly identify how the information or supporting materials they have sent to Council relate to the central issues that have been identified in their complaint.
- Restrict the frequency with which complainants can send emails or other written communications to our office.
- Restrict a complainant to sending emails to a particular email account (e.g. the organisation's main email account) or block their email access altogether and require that any further correspondence be sent through Australia Post only.

Writing only restrictions

When a complainant is restricted to 'writing only' they may be restricted to written communications through:

- Australia Post only
- Email only to a specific staff email or Council's general office email account
- Fax only to a specific fax number
- Some other relevant form of written contact, where applicable.

If a complainant's contact is restricted to 'writing only', the Chief Executive Officer will clearly identify the specific means that the complainant can use to contact our office (e.g. Australia Post only). Also if it is not suitable for a complainant to enter Council premises to hand deliver their written communication, this must be communicated to them as well.

Any communications that are received by Council in a manner that contravenes a communicated 'write only' restriction will either be returned to the complainant or read and filed without acknowledgement.

d) Where – limiting face-to-face interviews to secure areas

If a complainant is violent or overtly aggressive, unreasonably disruptive, threatening or demanding or makes frequent unannounced visits to our premises, Council may consider restricting our face-to-face contact with them.

These restrictions may include:

- Restricting access to particular secured premises or areas of the office – such as the reception area or secured room/facility.
- Restricting their ability to attend our premises to specified times of the day and/or days of the week only – for example, when additional security is available or to times/days that are less busy.
- Allowing them to attend our office on an 'appointment only' basis and only with specified staff. Note – during these meetings staff should always seek support and assistance of a colleague for added safety and security.
- Banning the complainant from attending our premises altogether and allowing some other form of contact – e.g. 'writing only' or 'telephone only' contact.

Contact through a representative only

In cases where Council cannot completely restrict contact with a complainant and their conduct is particularly difficult to manage, we may also restrict their contact to contact through a support person or representative only. The support person may be nominated by the complainant but must be approved by the Chief Executive Officer.

When assessing a representative/support person's suitability, the Chief Executive Officer should consider factors like: the nominated representative/support person's competency and literacy skills, demeanour/behaviour and relationship with the complainant, including any real or perceived conflict of interest.

If the Chief Executive Officer determines that the representative/support person may exacerbate the situation with the complainant, the complainant will be advised of the reasons why the nominated support person cannot be used and invited to nominate another person. Should they be unable to, Council may opt to assist them in this regard.

Completely terminating a complainant's access to our services

In rare cases, and as a last resort when all other strategies have been considered and/or attempted, the Chief Executive Officer may decide that it is necessary for Council to completely restrict a complainant's contact/access to our services.

A decision to have no further contact with a complainant will only be made if it appears that the complainant is unlikely to modify their conduct and/or their conduct poses a significant risk for Council staff or other parties because it involves one or more of the following types of conduct:

- Acts of aggression, verbal and/or physical abuse, threats of harm, harassment, intimidation, stalking, assault.
- Damage to property while on our premises.
- Threats with a weapon or common office items that can be used to harm another person or themselves.
- Physically preventing a staff member from moving around freely either within their office or during an off-site visit – e.g. entrapping them in their home.
- Conduct that is otherwise unlawful.

In these cases the complainant will be sent a letter notifying them that their access has been restricted as outlined in Part 7.4 below.

A complainant's access to Council services and/or Council premises may also be restricted (directly or indirectly) using the legal mechanisms such as trespass laws/legislation or legal orders to protect members of our staff from personal violence, intimidation or stalking by a complainant. For more information, about the types of circumstances where legal mechanisms may be used to deal with UCC, please see:

- *Unauthorised entry onto agency premises – applying the provisions of the Inclosed Lands Protection Act 1901 (NSW)*
- *Orders to address violence, threats, intimidation and / or stalking by complainants.*

6. ALTERNATIVE DISPUTE RESOLUTION (ADR)

6.1 Using alternative dispute resolution strategies to manage conflicts with complainants

If the Chief Executive Officer determines that Council cannot terminate its services to a complainant in a particular case or that we/our staff bear some responsibility for causing or exacerbating their conduct, they may consider using alternative dispute resolution strategies ('ADR') such as mediation and conciliation to resolve the conflict with the complainant and attempt to rebuild our relationship with them. If ADR is considered to be an appropriate option in a particular case, the ADR will be conducted by an independent third party to ensure transparency and impartiality. The Chief Executive Officer may seek the assistance and advice of Human Resources at such a stage.

However, Council recognises that in UCC situations, ADR may not be an appropriate or effective strategy, particularly if the complainant is uncooperative or resistant to compromise. Therefore, each case will be assessed on its own facts to determine the appropriateness of this approach.

7. PROCEDURE TO BE FOLLOWED WHEN CHANGING OR RESTRICTING A COMPLAINANT'S ACCESS TO OUR SERVICES

7.1 Consulting with relevant staff

When the Chief Executive Officer receives a UCC incident form from a staff member they will contact the staff member to discuss the incident. They will discuss:

- The circumstances that gave rise to the UCC/incident.
- The impact of the complainant's conduct on Council, relevant staff, our time, resources, etc.
- The complainant's responsiveness to the staff member's warnings/requests to stop the behaviour.
- The actions the staff member has taken to manage the complainant's conduct, if any.
- The suggestions made by relevant staff on ways that the situation could be managed.

A mutually signed and dated note of this discussion should be placed on file.

7.2 Criteria to be considered

Following a consultation with relevant staff, the Chief Executive Officer will ensure that any decision will also be based on a search of Council's document management system [Content Manager] for information about the complainant's prior conduct and history with Council.

They will also will consider the following criteria:

- Whether the conduct in question involved overt anger, aggression, violence or assault (which is unacceptable in all circumstances).
- Whether the complainant's case has merit.
- The likelihood that the complainant will modify their unreasonable conduct if they are given a formal warning about their conduct.
- Whether changing or restricting access to our services will be effective in managing the complainant's behaviour.
- Whether changing or restricting access to our services will affect the complainant's ability to meet their obligations, such as reporting obligations.
- Whether changing or restricting access to our services will have an undue impact on the complainant's welfare, livelihood or dependents etc.
- Whether the complainant's personal circumstances have contributed to the behaviour? For example, the complainant is a vulnerable person who is under significant stress as a result of one or more of the following:
 - homelessness
 - physical disability
 - illiteracy or other language or communication barrier
 - mental or other illness
 - personal crises
 - substance or alcohol abuse.
- Whether the complainant's response/ conduct in the circumstances was moderately disproportionate, grossly disproportionate or not at all disproportionate.
- Whether there any statutory provisions that would limit the types of limitations that can be put on the complainant's contact/access to our services.

Once the Chief Executive Officer has considered these factors they will determine the appropriate course of action, which will be annotated on the file note. They may suggest formal or informal options for dealing with the complainant's conduct which may include one or more of the strategies provided in this policy.

See Appendix 3 – Sample checklist for Chief Executive Officer to consider when deciding to modify or restrict a complainant's access.

7.3 Providing a warning letter

Unless a complainant's conduct poses a substantial risk to the health and safety of staff or other third parties, the Chief Executive Officer will provide them with a written warning about their conduct in the first instance.

The warning letter will:

- Specify the date, time and location of the UCC incident.
- Explain why the complainant's conduct/ UCC incident is problematic.

- List the types of access changes and/or restrictions that may be imposed if the behaviour continues. (Note: not every possible restriction should be listed only those that are most relevant).
- Provide clear and full reasons for the warning being given
- Include an attachment of the organisation's ground rules and / or briefly state the standard of behaviour that is expected of the complainant. See **Appendix 1**.
- Provide the name and contact details of the staff member who they can contact about the letter.
- Be signed by the Chief Executive Officer (or his/her nominated delegate).

See Appendix 4 – Sample warning letter.

7.4 Providing a notification letter

If a complainant's conduct continues after they have been given a written warning or in extreme cases of overt aggression, violence, assault or other unlawful/unacceptable conduct the Chief Executive Officer has the discretion to send a notification letter immediately restricting the complainant's access to our services (without prior written warning).

This notification letter will:

- Specify the date, time and location of the UCC incident(s).
- Explain why the complainant's conduct/UCC incident(s) is problematic.
- Identify the change and/or restriction that will be imposed and what it means for the complainant.
- Provide clear and full reasons for this restriction.
- Specify the duration of the change or restriction imposed, which will not exceed 12 months.
- Indicate a time period for review.
- Provide the name and contact details of the senior officer who they can contact about the letter and/or request a review of the decision.
- Be signed by the Chief Executive Officer (or his/her nominated delegate).

See Appendix 5 – Sample letter notifying complainants of a decision to change or restrict their access to our services.

7.5 Notifying relevant staff about access changes/restrictions

The Chief Executive Officer will notify relevant staff about any decisions to change or restrict a complainant's access to Council services, in particular customer services and any other relevant frontline staff, in cases where a complainant is prohibited from entering our premises.

The Chief Executive Officer will ensure that Content Manager and any other centralised register/list, is updated with a record outlining the nature of the restrictions imposed and their duration.

The Internal Ombudsman must also be advised.

7.6 Continued monitoring/oversight responsibilities

Once a complainant has been issued with a warning letter or notification letter the Chief Executive Officer will review the complainant's record/restriction every 3 months, on request by a staff member, or following any further incidents of UCC that involve the particular complainant to ensure that they are complying with the restrictions/the arrangement is working.

If the Chief Executive Officer determines that the restrictions have been ineffective in managing the complainant's conduct or are otherwise inappropriate they may decide to either modify the restrictions, impose further restrictions or terminate the complainant's access to Council's services altogether.

8. APPEALING A DECISION TO CHANGE OR RESTRICT ACCESS TO COUNCIL'S SERVICES

8.1 Right of appeal

Complainants are entitled to one appeal of a decision to change/restrict their access to our services. This review will be undertaken by a senior staff member who was not involved in the original decision to change or restrict the complainant's access. This staff member will consider the complainant's arguments along with all relevant records regarding the complainant's past conduct. They will advise the complainant of the outcome of their appeal by letter which will be countersigned by the Chief Executive Officer. The staff member will then refer any materials/records relating to the appeal to the Chief Executive Officer to be kept in the appropriate file.

If a complainant continues to be dissatisfied after the appeal process, or if they feel that they have been treated unfairly or discriminately, they may seek an independent review from the Internal Ombudsman. The Internal Ombudsman will consider the merits of the issue (in accordance with his/her administrative jurisdiction) to ascertain whether Council has acted fairly, reasonably and consistently and has observed the principles of good administrative practice including, procedural fairness.

Should the complainant remain dissatisfied following any determination by the Internal Ombudsman, they have the option to seek an external review from an oversight agency such as the Office of the NSW Ombudsman. The complainant may elect to seek an external review without first seeking an independent review by the Internal Ombudsman.

9. NON-COMPLIANCE WITH A CHANGE OR RESTRICTION ON ACCESS TO OUR SERVICES

9.1 Recording and reporting incidents of non-compliance

All staff members are responsible for recording and reporting incidents of non-compliance by complainants. This should be recorded in a file note in Content Manager and a copy forwarded to the Chief Executive Officer who will decide whether any action needs to be taken to modify or further restrict the complainant's access to our services.

10. PERIODIC REVIEWS OF ALL CASES WHERE THIS POLICY IS APPLIED

10.1 Period for review

All UCC cases where this policy is applied will be reviewed every 3 months or 6 months (depending on the nature of the service provided) and not more than 12 months after the service change or restriction was initially imposed or continued/upheld.

10.2 Notifying the complainant of an upcoming review

The Chief Executive Officer will invite all complainants to participate in the review process unless they determine that this invitation will provoke a negative response from the complainant (i.e. further UCC). The invitation will be given and the review will be conducted in accordance with the complainant's access restrictions (e.g. if contact has been restricted to writing only then the invitation to participate will be done in writing).

See **Appendix 6** – Sample letter notifying a complainant of an upcoming review.

10.3 Criteria to be considered during a review

When conducting a review the Chief Executive Officer will consider:

- Whether the complainant has had any contact with the organisation during the restriction period.
- The complainant's conduct during the restriction period.
- Any information/arguments put forward by the complainant for review.
- Any other information that may be relevant in the circumstances.

The Chief Executive Officer may also consult any staff members who have had contact with the complainant during the restriction period.

Note – Sometimes a complainant may not have a reason to contact Council during their restriction period. As a result, a review decision that is based primarily on the fact that the complainant has not contacted Council during their restriction period (apparent compliance with our restriction) may not be an accurate representation of their level of compliance/reformed behaviour. This should be taken into consideration, in relevant situations.

See **Appendix 7** – Sample checklist for reviewing an access change/restriction.

10.4 Notifying a complainant of the outcome of a review

The Chief Executive Officer will notify the complainant of the outcome of their review using the appropriate/relevant method of communication as well as a written letter explaining the outcome, as applicable. The review letter will:

- Briefly explain the review process.
- Identify the factors that have been taken into account during the review.
- Explain the decision/outcome of the review and the reasons for it.

If the outcome of the review is to maintain or modify the restriction the review letter will **also**:

- Indicate the nature of the new or continued restriction.
- State the duration of the new restriction period.
- Provide the name and contact details of any nominated officer who the complainant can contact to discuss the letter. This may be the Chief Executive Officer and/or a nominated delegate
- Be signed by the Chief Executive Officer.

See **Appendix 8** – Sample letter advising the complainant of the outcome of a review.

10.5 Recording the outcome of a review and notifying relevant staff

Like all other decisions made under this policy, the Chief Executive Officer is responsible for keeping a record of the outcome of the review, updating Content Manager and any other centralised register/list, and notifying all relevant staff of the outcome of the review, including if the restriction has been withdrawn.

See Parts 4.2 and 7.5 above.

11. MANAGING STAFF STRESS

11.1 Staff reactions to stressful situations

Dealing with complainants who are demanding, abusive, aggressive or violent can be extremely stressful and at times distressing or even frightening for all our staff – both experienced and inexperienced. It is perfectly normal to get upset or experience stress when dealing with difficult situations.

As an organisation, Council has a responsibility to support staff members who experience stress as a result of situations arising at work and we will do our best to provide staff with debriefing and counselling opportunities, when needed. However, to do this we also need help of all Council staff to identify stressful incidents and situations. As a result, all staff have a responsibility to notify their managers/senior managers of UCC incidents and any stressful incidents that they believe require management involvement.

11.2 Debriefing

Debriefing means talking things through following a difficult or stressful incident. It is an important way of 'off-loading' or dealing with stress. Many staff members naturally do this with colleagues after a difficult telephone call, but debriefing can also be done with a supervisor or senior manager or as a team following a significant incident. We encourage all staff to engage in an appropriate level of debriefing, when necessary.

Staff may also access an external professional service on a needs basis. All staff can access the Employee Assistance Program (EAP) – a free, confidential counselling service. Three EAP providers are available, so that staff and their families have access to both male and female professionals. Staff may call: (02) 6881-6060 (male psychologist), (02) 6882-7551 (female psychologist) or 1300 687 327 for telephone based counselling. For further information about the EAP, staff may contact Human Resources Services on (02) 6801-4261.

12. OTHER REMEDIES

12.1 Compensation for injury

Any staff member who suffers injury as a result of aggressive behaviour from complainants is entitled to submit a workers' compensation claim. Human Resources will assist wherever possible in processing claims and providing advice of this nature. If you are the victim of an assault, they may also be able to apply to the Victim's Compensation Tribunal for compensation.

12.2 Compensation for damage to clothing or personal affects

Where damage is suffered to clothing or personal effects as a result of aggression by a complainant, compensation may be sought.

12.3 Legal assistance

If a staff member is physically attacked, or is a victim of employment generated harassment and the police do not lay charges, the Chief Executive Officer will consider providing reasonable legal assistance if the staff member wishes to take civil action.

12.4 Threats outside the office or outside working hours

Where threats are directed at a particular staff member and it appears those threats may be carried out outside normal working hours or outside the office, the staff member will receive the support of Council. Requests for such assistance should be made to the Chief Executive Officer.

12.5 Escorts home

When a staff member fears for their safety following a threat from a complainant, another staff member may accompany them home or Council will consider meeting the cost of the staff member going home in a taxi. Ask the Chief Executive Officer for more information.

12.6 Telephone threats on home/personal numbers

If a staff member or their family have been harassed by telephone at their home and they believe it is connected with their employment they may apply to have the office meet the cost of having their telephone number changed and/or made silent. The staff member should also contact their telephone carrier, as they may provide an interception/monitoring service.

If assistance is approved, the office will meet the cost incurred for a period up to 12 months. Once approval is given, the staff member is responsible for making the necessary arrangements and will be reimbursed after producing a paid account.

Applications for reimbursement must be approved by Chief Executive Officer.

12.7 Other security measures

If other security measures are necessary, Council will give consideration to providing a range of reasonable support options to ensure the safety and welfare of the staff member.

13. TRAINING AND AWARENESS

Council is committed to ensuring that all staff are aware of and know how to use this policy. All staff who deal with complainants in the course of their work will also receive appropriate training and information on using this policy and on managing UCC on a regular basis in particular, on induction.

14. NSW OMBUDSMAN MAY REQUEST COPIES OF OUR RECORDS

Dubbo Regional Council will keep records of all cases where this policy is applied, including a record of the total number of cases where it is used every year. This data may be requested by the NSW Ombudsman to conduct an overall audit and review in accordance with its administrative functions and/or to inform its work on UCC.

15. POLICY REVIEW

All staff are responsible for forwarding any suggestions they have in relation to this policy to the Chief Executive Officer, who along with the Internal Ombudsman, will review it biennially (every 2 years).

16. SUPPORTING DOCUMENTS AND POLICIES

16.1 Statement of compliance

This policy is compliant with and supported by the following documents:

- Dubbo Regional Council Occupational Health and Safety OH&S Workplace Policy
- Dubbo Regional Council Complaint Handling Policy
- Dubbo Regional Council Internal Ombudsman Policy
- Dubbo Regional Council Code of Conduct
- Dubbo Regional Council Public Interest Disclosures and Internal Reporting Policy

17. RESPONSIBILITIES

The Internal Ombudsman is responsible for administering and reviewing this policy.

18. APPENDICES

Appendix 1: Individual Rights and Mutual Responsibilities of the Parties to a Complaint

In order to ensure that all complaints are dealt with fairly, efficiently and effectively and that occupational health and safety standards and duty of care obligations are adhered to, Council notes that the following rights and responsibilities must be observed and respected by all of the parties to the complaint process.

Individual rightsⁱ

a) Complainants have the right:

- to make a complaint and to express their opinions in ways that are reasonable, lawful and appropriateⁱⁱ
- to a reasonable explanation of the organisation's complaints procedure, including details of the confidentiality, secrecy and/or privacy rights or obligations that may apply
- to a fair and impartial assessment and, where appropriate, investigation of their complaint based on the merits of the caseⁱⁱⁱ
- to a fair hearing^{iv}
- to a timely response
- to be informed in at least general terms about the actions taken and outcome of their complaint^v
- to be given reasons that explain decisions affecting them
- to at least one right of review of the decision on the complaint^{vi}
- to be treated with courtesy and respect
- to communicate valid concerns and views without fear of reprisal or other unreasonable response.^{vii}

b) Staff have the right:

- to determine whether, and if so how, a complaint will be dealt with
- to finalise matters on the basis of outcomes they consider to be satisfactory in the circumstances^{viii}
- to expect honesty, cooperation and reasonable assistance from complainants
- to expect honesty, cooperation and reasonable assistance from organisations and people within jurisdiction who are the subject of a complaint
- to be treated with courtesy and respect
- to a safe and healthy working environment^{ix}
- to modify, curtail or decline service (if appropriate) in response to unacceptable behaviour by a complainant.^x

c) Subjects of a complaint have the right:

- to a fair and impartial assessment and, where appropriate, investigation of the allegations made against them
- to be treated with courtesy and respect by staff of the *[name of organisation]*
- to be informed (at an appropriate time) about the substance of the allegations made against them that are being investigated^{xi}
- to be informed about the substance of any proposed adverse comment or decision
- to be given a reasonable opportunity to put their case during the course of any investigation and before any final decision is made^{xii}
- to be told the outcome of any investigation into allegations about their conduct, including the reasons for any decision or recommendation that may be detrimental to them
- to be protected from harassment by disgruntled complainants acting unreasonably.

Mutual responsibilities

a) Complainants are responsible for:

- treating staff of Council with courtesy and respect
- clearly identifying to the best of their ability the issues of complaint, or asking for help from Council staff to assist them in doing so
- providing to the best of their ability, all the relevant information available to them at the time of making the complaint
- being honest in all communications with the Council
- informing Council of any other action they have taken in relation to their complaint^{xiii}
- cooperating with staff who are assigned responsibilities to assess/investigate/resolve/determine or otherwise deal with their complaint.

If complainants do not meet their responsibilities, Council may consider placing limitations or conditions on their ability to communicate with staff or access certain services.

Council has a zero tolerance policy in relation to any harm, abuse or threats directed towards its staff. Any conduct of this kind may result in a refusal to take any further action on a complaint or to have further dealings with the complainant.^{xiv} Any such conduct of a criminal nature will be reported to police and in certain cases legal action may also be considered.

b) Staff are responsible for:

- providing reasonable assistance to complainants who need help to make a complaint and, where appropriate, during the complaint process
- dealing with all complaints, complainants and people or organisations the subject of complaint professionally, fairly and impartially

- giving complainants or their advocates a reasonable opportunity to explain their complaint, subject to the circumstances of the case and the conduct of the complainant
- giving people or organisations the subject of complaint a reasonable opportunity to put their case during the course of any investigation and before any final decision is made^{xv}
- informing people or organisations the subject of investigation, at an appropriate time, about the substance of the allegations made against them^{xvi} and the substance of any proposed adverse comment or decision that they may need to answer or address^{xvii}
- keeping complainants informed of the actions taken and the outcome of their complaints^{xviii}
- giving complainants reasons that are clear and appropriate to their circumstances and adequately explaining the basis of any decisions that affect them
- treating complainants and any people the subject of complaint with courtesy and respect at all times and in all circumstances
- taking all reasonable and practical steps to ensure that complainants^{xix} are not subjected to any detrimental action in reprisal for making their complaint^{xx}
- giving adequate warning of the consequences of unacceptable behaviour.

If Council or its staff fail to comply with these responsibilities, complainants may submit a formal complaint to the Internal Ombudsman.

c) Subjects of a complaint are responsible for:

- cooperating with the staff of Council who are assigned to handle the complaint, particularly where they are exercising a lawful power in relation to a person or body within their jurisdiction^{xxi}
- providing all relevant information in their possession to Council or its authorised staff when required to do so by a properly authorised direction or notice
- being honest in all communications with Council and its staff
- treating Council staff with courtesy and respect at all times and in all circumstances
- refraining from taking any detrimental action against the complainant^{xxii} in reprisal for them making the complaint.^{xxiii}

If a subject or subjects of a complaint fail to comply with these responsibilities, action may be taken in accordance with any breaches of Council's Codes of Conduct.

d) Council is responsible for:

- having an appropriate and effective complaint handling system in place for receiving, assessing, handling, recording and reviewing complaints
- decisions about how all complaints will be dealt with
- ensuring that all complaints are dealt with professionally, fairly and impartially^{xxiv}

- ensuring that staff treat all parties to a complaint with courtesy and respect
- ensuring that the assessment and any inquiry into the investigation of a complaint is based on sound reasoning and logically probative information and evidence
- finalising complaints on the basis of outcomes that the organisation, or its responsible staff, consider to be satisfactory in the circumstances^{xxv}
- implementing reasonable and appropriate policies/procedures/practices to ensure that complainants^{xxvi} are not subjected to any detrimental action in reprisal for making a complaint^{xxvii}, including maintaining separate complaint files and other operational files relating to the issues raised by individuals who make complaints
- giving adequate consideration to any confidentiality, secrecy and/or privacy obligations or responsibilities that may arise in the handling of complaints and the conduct of investigations.

If Council fails to comply with these responsibilities, complainants may submit a formal complaint to the Internal Ombudsman.

Appendix 2: Sample UCC incident form

This form should only be completed if you encounter unreasonable complainant conduct and consider that steps may need to be taken to change or restrict a complainant’s access to services provide by Council.

You must complete this form and send it electronically or by hand to Chief Executive Officer within 24 hours of a UCC incident. They will decide on the necessary and appropriate course of action for responding to and managing the complainant’s conduct.

Date: _____

Case officer’s name: _____

Name of complainant: _____

Complainant’s case file number: _____

Details of the complainant’s conduct/incident including whether emergency services were contacted:

Why do you consider this conduct to be unreasonable?

For example – has it occurred before/repeatedly, caused significant disruptions to Council, has or could raise significant health and safety issues for our staff or other persons.

What action, if any, have you taken to deal with/manage the complainant’s conduct?

For example – warning the complainant ‘verbally’ about their conduct, other/previous attempts to manage the behaviour etc.

What do you think should be done to effectively manage the complainant’s conduct?

Note – the final decision on the appropriate course of action will be made by the Chief Executive Officer.

Is there any other information that might be relevant to this case? If necessary, attach any supporting documentation.

Appendix 3: Sample checklist for the Chief Executive Officer to consider when deciding to modify or restrict a complainant’s access

- I have received a signed and completed incident form from the case officer(s) involved (attach copy).
- I have spoken with relevant case officer(s) to obtain further information, as needed.
- I have reviewed the complainant’s record and all the relevant information in it.
- I have referred to and considered Part 7.2 Criteria to be considered which includes an assessment of the following:

- The merits of the complainants case

- The complainant’s circumstances

- Jurisdictional issues

- Proportionality

- Organisational or case officer responsibility

- Responsiveness, including previous conduct

Case officer's personal boundaries

Conduct that is unreasonable in all circumstances (assault, threats of harm etc.)

Along with the case officer concerned and Chief Executive Officer, I have considered all reasonable options for managing the complainant's conduct, including those that do not involve restricting their access to our services.

The complainant has been warned about their conduct in writing, and the letter has been signed by the Chief Executive Officer if applicable.

The complainant has been advised in writing of our decision to restrict their access to Council, and the letter has been signed by the Chief Executive Officer if applicable.

I have made a record of my assessment and decision about the complainant's conduct and all relevant staff members have been notified of my decision.

An electronic alert has been created in Content Manager that notifies any staff dealing with this complainant of the nature of the conduct that caused us to be concerned, the nature of the restriction that has been placed on their access, its duration, how they are to deal with the complainant (including who they should direct any communications from the complainant to).

Date: _____

Signature: _____

Appendix 4: Sample warning letter

[To be signed by the Chief Executive Officer or nominated delegate]

Our reference: *[reference]*

Contact: *[case officer]*

Telephone: *[number]*

[Date]

[Name of complainant]

[Address of complainant]

Dear *[name of complainant]*

Your contact with Dubbo Regional Council

You recently had *[state the form of contact – e.g. telephone, written or face-to-face]* with staff at my office on *[date]*. *[During/In that telephone call/appointment/letter,]* I understand that you *[explain the nature of the conduct that has caused the organisation to be concerned]*.

We consider this type of behaviour to be inappropriate and it must stop. If you continue to behave in this way or in any other way that my staff consider to be unreasonable, we will impose restrictions on your contact with our office. This may involve restricting your contact to *[apply the relevant option(s)]*:

- ‘Writing only’ – this means that we will only accept communications from you in writing, delivered by Australia Post *[if online or other written communications are preferred then explain]*.
- ‘Telephone contact only’ – this means that you will only be able to contact us by telephone on a specified time and day of the week.
- ‘Face-to-face contact only’ – this means that your contact will be limited to scheduled face-to-face meetings with a specified member of our staff.

Or any other restriction that we consider to be appropriate in the circumstances.

I have attached a copy of a document called *[Individual rights and mutual responsibilities of the parties to a complaint]* for your reference. We expect everyone who complains to this Council to act in the ways described in this document.

If you have any questions about this letter, contact *[provide name and phone number of the nominated staff member]*.

Yours sincerely,

[Chief Executive Officer or nominated delegate]

Appendix 5: Sample letter notifying a complainant of a decision to change or restrict their access to our services

[To be signed by the Chief Executive Officer or nominated delegate]

Our reference: *[reference]*
Contact: *[case officer]*
Telephone: *[number]*

[Date]

[Name of complainant]
[Address of complainant]

Dear *[name of complainant]*

Decision to restrict your contact with Dubbo Regional Council

It has come to my attention that you *[describe the nature of the unreasonable conduct and its impact – e.g. if the complainant has been sending emails to several members of my staff on a daily basis...]*

I understand that my staff have previously told you that we consider this conduct to be unreasonable and unwarranted.

I also wrote to you on *[date]* and asked you to stop this behaviour. In that letter I advised you that if your behaviour continued, we would restrict your contact with Dubbo Regional Council. At the time I also attached a copy of our *[Individual rights and mutual responsibilities of the parties to a complaint]* which outlines your responsibilities as a complainant.

Because your behaviour has continued, I now consider it necessary to impose certain restrictions on your future contact with Council. I therefore give you notice that from *[date]*, and with the exception(s) detailed below, Council will only accept communication from you *[identify permissible form of contact, if any]*.

What this means

This means that you are only to contact Council using *[describe the restriction in further details]*. Any communications that do not comply with this restriction will be *[describe what will happen – e.g. phone calls will be terminated immediately or emails/written communications will be read and filed without acknowledgment, emails will be blocked or deleted, no interviews will be granted, etc.]*.

[Note: the complainant should be clearly informed how they can contact the organisation and how the organisation will contact them].

Your existing complaint (if applicable)

Council currently has one file open in your name. This relates to *[state the subject of complaint and describe complaint]*. This file is being handled by *[name of officer and position title]*. While you are able to contact *[name of officer]* *[state nature of contact – e.g. by email]* about this specific matter, all other contact with Council, including any future complaints, must be *[state restriction – e.g. in writing through Australia Post]* *[provide contact details – e.g. address of organisation where post can be sent]*.

Review of this decision

My decision to restrict your contact with this organisation is effective immediately and will last for *[3 months/6 months/12 months]*. At that time we will review your restriction and decide if it should be maintained, amended or withdrawn.

I take these steps with the greatest reluctance, but *[state reason for restriction – e.g. the equity and safety of other complainants and my staff]*, leaves me no alternative.

If you have any questions about this letter, you can contact *[provide name and phone number of the nominated staff member]*.

Yours sincerely,

[Chief Executive Officer or nominated delegate]

Appendix 6: Sample letter notifying a complainant of an upcoming review

[To be signed by the Chief Executive Officer or nominated delegate]

Our reference: *[reference]*
Contact: *[case officer]*
Telephone: *[number]*

[Date]

[Name of complainant]
[Address of complainant]

Dear *[name of complainant]*

Upcoming review of the decision to restrict your contact with Dubbo Regional Council

It has now been *[3 months/6 months/12 months]* since restrictions were *[imposed/upheld]* on your contact with Dubbo Regional Council. As advised in our letter dated *[date]*, we are now reviewing our decision to ascertain whether the restrictions should be maintained, amended or withdrawn.

We consider it important to give you an opportunity to participate in the review process, so we are therefore inviting you to *[apply the relevant option(s)]*:

- make submissions in writing through Australia Post *[include contact person's name and address]*
- schedule a face-to-face interview with *[include name of staff member and provide instructions on how they should go about scheduling the appointment – e.g. calling though the reception line on xxx-xxx-xxxx]*
- schedule a telephone interview with *[include name of staff member and provide instructions on how they should go about scheduling the appointment – e.g. calling though the reception line on xxx-xxx-xxxx]*

In your letter, you should include information that would be relevant to our review. This includes information about *[.....]*/During the interview which will not last more than 30 minutes, we will discuss whether:

- you have complied with the current contact restrictions
- the current contact restrictions should be removed
- the current contact restrictions should be amended to better suit your personal circumstances
- the current contact restrictions should be maintained
- any other information that is relevant to our decision.

We must receive your letter by *[time and date]*/ you should confirm your interview with *[name of case officer]* by *[time and date]*. If we do not receive it/hear from you by this date, we will assume that you do not wish to participate in this review and will undertake the review based on the information that we have available to us.

Once the review is completed, we will contact you again by letter notifying you of our decision.

If you have any questions about this letter, you can contact *[provide name and phone number of the nominated staff member]*.

Yours sincerely,

[Chief Executive Officer or nominated delegate]

Appendix 7: Sample checklist for reviewing a decision regarding an access change/restriction

- The complainant has been sent a letter notifying them of the review.
- The complainant will/will not participate in the review.
 - the complainant has/has not scheduled a face-to-face interview
 - the complainant has/has not made written submissions
 - the complainant has/has not scheduled a telephone interview
- I have reviewed all the information in the *[case management system]* from the last 12 months *[or relevant period of the restriction]* about the complainant's:
 - contact with the office (explain form of contact)

conduct during that contact (explain if conduct reasonable or unreasonable)

I have spoken with the case officers who have had contact with the complainant during the last 12 months about the complainant's conduct during that period.

- I have considered the arguments/statements made by the complainant, including the impact of the restrictions on them (explain complainant's position, including if their circumstances have changed etc.) *Note: if the complainant is arguing that their circumstances have changed, they should be required to submit evidence to support this claim.*

I have considered whether there are other more reasonable/suitable options for managing the complainant's conduct, including those that do not involve restricting their access to our services (list all that apply).

- I consider that the restriction should be (explain):
 - maintained –*e.g. because the conduct has continued or is likely to continue, is disproportionate etc.*
 - removed – *e.g. because the complainant has complied with the restrictions etc.*
 - amended – *e.g. because the complainant’s circumstances have changed and the current restriction is no longer appropriate.*

- I have discussed my decision with [*other nominated senior officers*]
- The complainant has been advised in writing of my decision to maintain/remove/amend the restriction and this letter has been signed by the (*CEO*).
- Content Manager has been updated to reflect my decision.

Date: _____

Signature: _____

Appendix 8: Sample letter advising the complainant of the outcome of a review

[To be signed by the Chief Executive Officer or nominated senior]

Our reference: *[reference]*
Contact: *[case officer]*
Telephone: *[number]*

[Date]

[Name of complainant]
[Address of complainant]

Dear *[name of complainant]*

Review of your contact with Dubbo Regional Council

I am writing about a review that was undertaken by Council on *[date]* concerning your contact with this office. I understand that you *[participated/did not participate]* in that review.

Process of review

During the review you were given an opportunity to *[explain in general terms how the review what undertaken]*.

Considerations

After your *[interview/reading your submissions]*, we considered the concerns and suggestions raised in your *[interview/letter, etc.]*, particularly your concerns about *[include information that would be relevant – e.g. the complainant said there circumstances had changed]*. We also reviewed our records of your conduct and contact with our office over the last 12 months. Our records showed that *[provide summary of relevant information – e.g. Our records show that you have continued to send emails to our office, sometimes up to four times a day, throughout the period of your restriction]*.

[Apply if relevant]: These communications were in direct violation of your restriction which limited your contact with our office to *[state nature restriction]* *[explain what the purpose of the restriction was, if appropriate, and the impact of their conduct]*.

[Apply if relevant]: Our records show that you have complied with the restrictions that were imposed on your contact with Council.

Decision

[Apply if relevant]: Due to [explain reasoning for the decision – e.g. the number of emails that you have sent to Council in the last 12 months and] I consider it necessary to maintain the restrictions on your contact with our office for a further 12 months, effective immediately.

[Apply if relevant]: Due to [explain reasoning for the decision I consider it necessary to amend the restrictions on your access to better suit your personal circumstances [explain, including providing clear instructions on how the complainant is to contact us and how we will contact them]. The new restrictions will be effective immediately and will last for 12 months. If your circumstances change again during this period, you may [explain how the complainant can notify of the change].

[Apply if relevant]: Due to [explain reasoning for the decision] I consider it appropriate to remove the restrictions that have been placed on your access with Council, effective immediately. You may contact Council using any of our normal servicing options.

If you have any questions about this letter, you can contact *[provide name and phone number of the nominated delegate]*.

Yours sincerely,

[Chief Executive Officer or nominated delegate]

ENDNOTES

- ⁱ The word 'rights' is not used here in the sense of legally enforceable rights (although some are), but in the sense of guarantees of certain standards of service and behaviour that a complaint handling system should be designed to provide to each of the parties to a complaint.
- ⁱⁱ Differences of opinion are normal: people perceive things differently, feel things differently and want different things. People have a right to their own opinions, provided those opinions are expressed in acceptable terms and in appropriate forums.
- ⁱⁱⁱ While degrees of independence will vary between complaint handlers, all should assess complaints fairly and as impartially as possible, based on a documented process and the merits of the case.
- ^{iv} The 'right to be heard' refers to the opportunity to put a case to the complaint handler/decision-maker. This right can be modified, curtailed or lost due to unacceptable behaviour, and is subject to the complaint handler's right to determine how a complaint will be dealt with.
- ^v Provided this will not prejudice on-going or reasonably anticipated investigations or disciplinary/criminal proceedings.
- ^{vi} Such a right of review can be provided internally to the organisation, for example by a person not connected to the original decision.
- ^{vii} Provided the concerns are communicated in the ways set out in relevant legislation, policies and/or procedures established for the making of such complaints/allegations/disclosures/etc.
- ^{viii} Some complaints cannot be resolved to the complainant's satisfaction, whether due to unreasonable expectations or the particular facts and circumstances of the complaint [see also Endnote 25].
- ^{ix} See for example WH&S laws and the common law duty of care on employers.
- ^x Unacceptable behaviour includes verbal and physical abuse, intimidation, threats, etc.
- ^{xi} Other than where there is an overriding public interest in curtailing the right, for example where to do so could reasonable create a serious risk to personal safety, to significant public funds, or to the integrity of an investigation into a serious issue. Any such notifications or opportunities should be given as required by law or may be timed so as not to prejudice that or any related investigation.
- ^{xii} Depending on the circumstances of the case and the seriousness of the possible outcomes for the person concerned, a reasonable opportunity to put their case, or to show cause, might involve a face to face discussion, a written submission, a hearing before the investigator or decision maker, or any combination of the above.
- ^{xiii} For example whether they have made a similar complaint to another relevant person or body or have relevant legal proceedings at foot.
- ^{xiv} Other than in circumstances where the organisation is obliged to have an ongoing relationship with the complainant.
- ^{xv} See Endnote 11.
- ^{xvi} Other than where an allegation is so lacking in merit that it can be dismissed at the outset.
- ^{xvii} See Endnote 11.
- ^{xviii} See Endnote 5.
- ^{xix} 'Complainants' include whistleblowers/people who make internal disclosures.
- ^{xx} 'Complaints' includes disclosures made by whistleblowers/people who make internal disclosures.
- ^{xxi} This does not include any obligation to incriminate themselves in relation to criminal or disciplinary proceedings, unless otherwise provided by statute.
- ^{xxii} See Endnote 19.
- ^{xxiii} See Endnote 20.
- ^{xxiv} See Endnote 3.
- ^{xxv} Once made, complaints are effectively 'owned' by the complaint handler who is entitled to decide (subject to any statutory provisions that may apply) whether, and if so how, each complaint will be dealt with, who will be the case officer/investigator/decision-maker/etc., the resources and priority given to actioning the matter, the powers that will be exercised, the methodology used, the outcome of the matter, etc. Outcomes arising out of a complaint may be considered by the complaint handler to be satisfactory whether or not the complainants, any subjects of complaint or the organisation concerned agrees with or is satisfied with that outcome.
- ^{xxvi} See Endnote 19.
- ^{xxvii} See Endnote 20.