* + 1. **TEMPLATE: *Resolution of complaints from (members’) client’s system* questions which the applicant association is required to complete**

The questions below are designed to help you demonstrate to the Professional Standards Councils that the association applying for a Professional Standards Scheme maintains a consumer-focused complaints system.

To assist you, see Guidance4.2.2 *Complaints systems guidance.*

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| 1. **QUESTIONS: *STRUCTURE*** | | |
| **Evidence / information required** | | **Association’s response (including examples)** |
| 1. Provide and explain your association’s current, or proposed, consumer complaints system by providing materials or documents such as:  * the relevant constitutional elements * approved policy, procedures, processes * forms, templates, internal or external standards * oversight by executive bodies or committees and their terms of reference * standing communication to members and the public * relevant website content. | |  |
| 1. **QUESTIONS: *IMPLEMENTATION & OTHER STATUTORY/REGULATORY REQUIREMENTS*** | | |
| 1. Where a consumer complaints system is being proposed, or in development, or being amended, discuss how your association will implement the consumer complaints system, including the association’s resources (e.g. staff, financial, IT) and implementation timetable. 2. Where your association, or members, are subject to a statutory or regulatory requirement for all or part of a consumer complaints system, provide the Councils with references to the relevant statutory provisions, the regulator, and explain the interaction, liaison, or coordination between the association (as a professional standards co-regulator) and the statutory Regulator. Examples of liaison or coordination may include formal advice and referrals between the association and the regulator, delegations of certain types or specific matters from the regulator to the association, scheduled meetings or consultation and membership of panels or committees. | |  |
| 1. **QUESTIONS: *GOVERNANCE*** | | |
| Where not included in your response to the above, provide the following:   1. Describe the association’s authority to operate a consumer complaint system. Provide documents to evidence this authority. 2. Provide the association’s published consumer complaints policy and indicate where it is published for public and member perusal. 3. Describe the association’s arrangements for the administration and governance of the consumer complaints system. Provide documents to evidence the administration of such arrangements. 4. Provide a diagram illustrating the accountabilities and reporting lines within the association’s consumer complaints system. Provide any other supporting documents relating to accountabilities, roles, and responsibilities. 5. Describe consumer representation in the consumer complaints system design, operation, consultation, and feedback. These arrangements may include the inclusion of consumer representation on a governing body of the association, the committee that oversees the complaints and discipline system, and the panel that considers complaints. 6. Describe how the complaints panel ensures independence in consideration of the complaint and avoids conflicts of interest or undue influence. For example, the use of external or independent or consumer representative members of the panel. 7. Describe the human, technological and financial resources the association deploys to support its consumer complaints system. These may include utilisation of standards such as AS NZS 10002 ‘Guidelines for complaint management in organisations’. Provide documents to evidence the resources deployed. 8. Describe the means by which the association communicates its consumer complaints system and reports upon its consumer outcomes to the association, members, consumers, and other stakeholders. Provide documents (including website links) which evidence the publication and promotion of the system, particularly the scope and criteria for accepting or rejecting complaints, the timeframes and process for promoting consumer clarity and transparency. 9. Provide any policy or process determining the frequency and nature of the association’s internal and external review/ audit processes for its consumer complaints system. Provide any documents to evidence the audit or review system (for example, the most recent review or audit of the association’s consumer complaints system). | |  |
| 1. **QUESTION:**  ***IMPROVEMENTS*** | | |
| 1. Describe your association’s detailed plans to improve your consumer complaints system and the strategies to address consumer risks and harms. 2. Describe the factors your association will consider to improve the consumer complaints system, for example:  * how emerging trends from the outcomes are used to inform revisions of the system * how your association identifies and incorporates best practice * how the purpose for, and benefits of, the improvement are identified and confirmed * how adequate resources are assigned to the improvement * how the process is free of inappropriate or conflicted influence (including by government, the profession, employers, or other interested parties) * the process of engagement and consultation with stakeholders (e.g. members, public, consumers, regulators, related occupational associations) to assure alignment * the development of practical measures of effectiveness of the system, for example, collection, collation, analysis and reporting to the governing body * what changes require governing body approval and formal approval by a general meeting of members. |  | |
| 1. **QUESTION:**  ***CONSUMER PROTECTION OUTCOMES*** | | |
| 1. Provide the consumer post-resolution survey, including data collection on procedural fairness, or advise that you do not survey the consumers. 2. Provide examples of the association’s activity report concerning the operations of its consumer complaints system, such as reporting on procedural metrics, settlements rates, root causes analysis of complaints, matters referred to member discipline and matters referred for occupational standards for improvement. 3. Provide the most recent internal/external review/audit report concerning the consumer complaints system. |  | |