
 <b>Great Lakes Pilotage Authority</b> Administration de pilotage des Grands Lacs	Document number : POL-HR-015E	Number of pages : 6
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### POLICY APPROVAL AND REVISION RECORD


<b>Document Number:</b>	<b>Title:</b>
POL-HR-015E	COMPLAINT POLICY AND PROCEDURE

#### APPROVAL

NAME	TITLE	SIGNATURE	DATE OF APPROVAL DD/MM/YYYY
<b>Michèle Bergevin</b>	Chief Executive officer		11/10/2022

#### REVISION RECORD

REVISION #	SECTION(S)	REVIEW/REVISION HISTORY	DATE DD/MM/YYYY	PREPARED BY :	AUTHORIZED BY :	EFFECTIVE DATE DD/MM/YYYY

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POLICY			
COMPLAINT POLICY AND PROCEDURE			
Supersedes Document / Revision No. :		Revision date :	

## 1.0 INTRODUCTION

- 1.1 This policy provides guidelines for resolution and the treatment of complaints made by the Great Lakes Pilotage Authority (GLPA) customers.

## 2.0 PURPOSE

- 2.1 The GLPA is committed to a consistent and uniform process to respond to complaints received regarding the dissatisfaction of services, programs, operational or finance procedures and personnel.
- 2.2 The following policy establishes guidelines and standards for the efficient handling and resolution of complaints made toward the GLPA in order to address concerns raised and improve services.

## 3.0 DEFINITIONS

- 3.1 For the purpose of this policy,


**Complainant:** The person who is dissatisfied and is filing the complaint. Anyone who uses or is affected by the GLPA services can make a complaint.

**Complaint:** Expression of dissatisfaction related to GLPA activities, services, programs or GLPA employee or operational procedures, where it is believed that the GLPA has not provided a service experience to the customer's satisfaction at the point of service delivery.

**Compliment:** An expression of appreciation for satisfactory or above-satisfactory service.

**Enquiry:** Is defined as a general or specific request for information regarding a GLPA service or operational procedure.

**Feedback:** Input that is neither positive, nor negative but provides ideas.

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**Resolution of complaint:** The final stage of the complaint process which may include an apology, explanation, reconsideration, reimbursement and/or change in policy. The complaint is considered closed and resolved.

## 4.0 GUIDING PRINCIPLES

- It is in the interest of all parties that complaints are dealt with promptly and resolved as quickly as possible.
- Review of complaints is fair, impartial and respectful to all parties.
- Complainants are advised of their options to escalate their complaint to a more senior staff person if they are dissatisfied with treatment or outcome.
- Complainants are provided clear and understandable reasons for decisions relating to complaints.
- Updates are provided to Complainants during review processes.
- Complaints are used to assist in improving services, policies and procedures.


## 5.0 PROCEDURE

### 5.1 General

- 5.1.1 A complaint may be made in a number of ways:
- Verbal complaints are made in person or by telephone;
  - Written complaints may be filed by email, hand delivery, mail or fax.
- 5.1.2 A formal complaint shall include the following components:
- a) Contact details of the Complainant;
  - b) Type of complaint;
  - c) Summary of complaint (Details, location, GLPA employee involved, resolution requested, enclosures, date complaint submitted);
  - d) Signature and date.

### 5.2 Informal Complaint

- 5.2.1 It is the responsibility of the GLPA employees to attempt to resolve issues or concerns before they become formal complaints and identify opportunities to improve the GLPA services.
- 5.2.2 For cases where informal resolution is successful, complaint logging is not required.

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### 5.3 Formal Complaint

5.3.1 A formal complaint is generated when an informal resolution could not be successfully achieved. Formal complaints shall be submitted to the Director of Human Resources on the GLPA complaint form. Refer to Form-HR-003 - *Customer Complaint*. All complaints must be dated and signed by an identifiable individual.

5.3.2 The complaint is given a tracking number and is acknowledged in writing between 1 to 5 business days upon receipt.

5.3.3 The Director of Human Resources will:

#### 5.3.3.1 Acknowledgement

Contact the Complainant in writing within the respected number of days. Complaint will be logged, and a tracking number will be assigned and referenced within the notice, as well as detailed service standard timeline which will be met during the complaint process.

#### 5.3.3.2 Assessment

Contact the Complainant in writing to clarify the complaint, if needed. The complaint may be terminated at this point if a resolution is possible, if it is a duplicate or if it is not a complaint.

#### 5.3.3.3 Transfer of complaint

Notify and transfer the complaint as follow:

- In the case of a GLPA employee, the supervisor of the department and Human Resources department;
- In the case of an operational procedure, the Chief Operating Officer;
- In the case of a finance procedure, the Chief Financial Officer.


If the complaint is transferred, the recipient must acknowledge to the transferor that he or she has received it and will act on it.

The person who initially receives the complaint should acknowledge to the Complainant that the complaint has been received and will be acted on either by him/herself or another employee.

#### 5.3.4 Investigation

5.3.4.1 The investigating GLPA employee will:

- Document all notes within the GLPA Complaint Tracking Form. Refer to Form-HR-004E – *Complaint tracking*.
- Contact the Complainant where a quick resolution is possible.

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- Notify the Complainant in writing of an approximate length of time if the Investigating GLPA employee determines the issue may result in a lengthy investigation process.
- Review the issues identified by the Complainant and in doing so may:
  - Review relevant legislation;
  - Review the GLPA relevant policies and procedures;
  - Interview employees;
  - Identify actions that may be taken to address the complaint or improve GLPA operations.

### 5.3.5 Decision

5.3.5.1 A decision will be provided to the Complainant in writing by the Investigator within 15 business days upon receipt of the complaint. If a decision cannot be provided within 15 business days, the Investigator shall inform the Complainant of the delay and provide an estimation of time.


5.3.5.2 The decision will consist of information such as:

- Overview of complaint;
- Details of how the investigation was conducted;
- Summary of the facts;
- Outline of the findings;
- Identification of next steps;
- Suggestions of appropriate resolution along with the rationale supporting the proposed resolution.

5.3.5.3 Where a complaint cannot be easily resolved, it will be escalated to the Chief Executive Officer (CEO). If the complaint is about the CEO, it will be handled by the Chairperson of the GLPA Board.

## 6.0 DOCUMENTING THE COMPLAINT

- 6.1 It is necessary to keep record of any complaint that involves a dispute over money as well as any complaint that cannot be resolved immediately (on the same day it is received). Information about such complaints must be recorded on the complaint tracking form. Information recorded on the worksheet includes a description of the complaint, who handled it, what was done to resolve the complaint, timeframe, and a description of the resolution.
- 6.2 The complaint must be tracked from its initial receipt to its resolution. This process is managed by the Investigating Employee.
- 6.3 A summary of the complaints received including number and type will be reported to the GLPA Board of Directors annually.

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## 7.0 RECORDS MANAGEMENT

- 7.1 Upon delivery of decision, the complaint shall be deemed resolved/closed and the Investigator will transfer all physical and electronic documents pertaining to the complaint to the Director of Human Resources. The Director of Human Resources will maintain the records according to the GLPA records retention schedule. No records or copies thereof shall be kept by any investigator.

## 8.0 REFERENCES

FORM-HR-003E - Customer Complaint  
FORM-HR-004E - GLPA Complaint Tracking sheet