



INSTRUCTIONS & FORM FOR FILING A COMPLAINT OF A BREACH OF THE NZAS CODE OF ETHICS

Enforcement of the Code of Ethics

The Complaints Board is charged by the Executive Council of the New Zealand Audiological Society (NZAS) with the responsibility to interpret, administer, and enforce the NZAS Code of Ethics. A fundamental principle that guides the Complaints Board in the discharge of its responsibility is that an effective Code of Ethics requires an orderly and fair administration and enforcement of its terms and requires full compliance by all members of the Society. Each case must be judged on an individual basis, and no two cases are likely to be identical. Thus, the Complaints Board has the responsibility to exercise its judgment on the merits of each case and on its interpretation of the Code..

The Complaints Board is an independent Board made up of a lawyer, a consumer representative and a professional advisor.

The NZAS Code of Ethics and Complaints Procedure are available at www.audiology.org.nz.

Filing a Complaint

- Complaints must be submitted in writing using the Complaint of Breach of the NZAS Code of Ethics form that follows these instructions.

The completed complaint form must include a written attachment that includes the information and facts on which the complaint is based and any additional documentation and other evidence that corroborates and supports the allegations. The Complaints Board relies on the information provided by the Complainant and Respondent in its consideration of complaints, so it is imperative that you provide the Board with all the facts and evidence you have to support your allegations and wish the Board to consider in its deliberations.

- The NZAS does not accept anonymous complaints.
- If your complaint involves two or more members of the NZAS you need to complete a separate form for each member.
- If documents containing confidential information, such as client/patient/employment records, must be submitted to substantiate your complaint, be sure to attach the persons



written authority or remove any identifying information. If you need to refer to a specific record you may assign letter or number codes in place of the struck out identifying information (for example, Client A, Patient B).

- If you do not wish to be identified to the respondent you must ask for confidentiality and give your reasons. The Board will consider your request and decide whether or not to grant you confidentiality.
- In order to facilitate our copying of complaint materials to be provided to the Respondent and members of the Complaints Board, please do not use staples, coloured fonts, or highlighting/shading. If you wish to emphasise specific content, we suggest you underline, circle, or box the facts or evidence you wish to draw to the board's attention. In addition, we ask that you not hole-punch the materials.

NZAS Ethics Complaint Instructions & Form (2/2009)

What to include in the complaint

Facts and evidence to be provided in your complaint may include, but are not limited to, the following:

- Date(s) of incident(s)
- Your relationship to the Respondent (for example, employer, employee, colleague, clinical fellowship supervisor, client/patient or caregiver)
- Location/occasion of incident
- How and when you observed/discovered the alleged violation
- The Respondent's actions, practices, and/or behaviour you think were violations of the Code of Ethics
- Descriptions and copies of any communications with others regarding this incident
- Descriptions and dates of actions taken, if any, to try to rectify the situation prior to submitting this complaint
- Descriptions and dates of any communications with Respondent regarding your concerns and any responses received
- Signed and dated witness statements
- If the facts and circumstances in your complaint are also the subject of any complaints to other regulatory entities (e.g. third party funders), or a legal cause of action, please



provide information about these matters.

- Although not required, the Complaints Board appreciates Complainant's citing each provision of the NZAS Code of Ethics (1998) that he/she believes has been violated, followed by a nexus to the facts and evidence provided to support each allegation. The Code of Ethics is available on NZAS's Web site at www.audiology.org.nz.

Complaint Follow-Up

The Executive Officer sends the Complainant an acknowledgement that the complaint has been received and the complaint is then forwarded to the Complaints Board.

The Complaints Board meets as required. Under its rules the Complaints Board can decide that a complaint completely lacks merit and substance in which case it will notify the complainant that no further action will be taken against the respondent. In every other case the Board will investigate and resolve the complaint within a reasonable time.

The Complaints Board will either summarise or provide a copy of the complaint and attachments to the individual(s) against whom the complaint is filed (respondent). The respondent will be given an opportunity to submit to the Complaints Board, and the complainant will be given an opportunity to comment on their response.

The Complaints Board will have regard to the principles of fairness and natural justice.

The Board will send a copy of its final decision to the complainant and the respondent.

If you have questions about the complaint filing process, please contact Maree Gunn, Executive Officer NZAS by e-mail to mail@audiology.org.nz.



COMPLAINT OF BREACH OF THE NZAS CODE OF ETHICS

A copy of this complaint form and any attachments may be provided to the individual(s) against whom the complaint is filed. The complaint must be in writing and mailed to the address provided below. The Complaints Board does not accept anonymous complaints.

NZAS's Code of Ethics, Complaints Procedures and other ethics-related information are available at www.audiology.org.nz.

DATE: _____

COMPLAINANT: (Individual filing the complaint)

Name: _____

Address: _____

Telephone: _____

E-mail: _____

RESPONDENT: (Individual against whom the complaint is directed)

Name: _____

Address (if known): _____

Telephone (if known): _____

E-mail (if known): _____

Complaints Instructions & Form (6/2008)

COMPLAINT DOCUMENTATION: Summarise in a written attachment the facts on which this complaint is based and enclose copies of all materials and other evidence that corroborates and support the allegations. (See the "Filing a Complaint" section of the "Instructions for Filing a Complaint" above for detailed information on what to include—and what not to include—in your complaint.)



REPORTS TO OTHER ENTITIES: If you have filed a complaint about this same matter to another agency (for example, a third party funder or other regulatory board; an organisation; an academic institution; any national or local official or agency), add an attachment showing to whom it was submitted, the approximate date(s), and whether/how the matter was resolved.

COMPLAINANT'S SIGNATURE:

I affirm that the statements/information within this complaint are correct and truthful to the best of my knowledge.

Signature of Complainant

Date

Note to Complainants who are NZAS members: It is the duty of all NZAS members and to come forward with evidence of breaches of the Code of Ethics. However, each NZAS member should be mindful of his or her professional obligations regarding confidentiality and possible sanctions for abuse of the complaint procedures. Your signature above signifies that the complaint is brought to the Complaints Board in good faith and not for the purpose of resolving private business, legal, or other disputes for which more appropriate forums exist.

Send completed and signed complaint form and accompanying documentation in an envelope marked CONFIDENTIAL, to:

Maree Gunn
Executive Officer
New Zealand Audiological Society,
P.O. Box 9724,
Newmarket,
Auckland 1149

If you have questions about filing a complaint or the policies and procedures of the Complaints Board, please contact Maree Gunn, Executive Officer NZAS by e-mail to mail@audiology.org.nz.

NZAS Office Use Only:

Respondent's Membership/Certification Status Verified? ___ yes ___ no