

Complaint Handling Checklist

Complaint id:
Your Name:
Date Commenced:
Date Completed:

The following stages and steps are explained in further detail in the [Line Manager Guidelines](#)



Stage 1: CHECK AND ASSESS

Steps	Description	Select option
A1	Are you the most appropriate person to deal with the complaint? (consider any conflicts of interest and that complaints should be resolved at the most appropriate level).	
A2	Have you registered the matter with the ISU if you received it directly?	
A3	Have you emailed the complainant within 5 working days to confirm receiving the complaint?	
A3	Have you commenced addressing the complaint within 10 working days of being made aware of it?	
A4, A5	Have you contacted the complainant to clarify the issues in their complaint, what outcome they are seeking and whether they have any safety, security or wellbeing concerns?	
A6	Have you assessed the complaint's subject matter and decided what kind of complaint it is?	

Stage 2: ENQUIRE AND REVIEW

Steps	Description	Select option
B1, B2	Have you obtained information about the complaint, including consulting relevant policies and procedures, contacting relevant witnesses and obtaining evidence, if required?	
B2	Have you contacted the respondent and given them the opportunity to respond to the complaint and any adverse information obtained during the course of the inquiry?	
B3	Have you obtained and reviewed all relevant information to ensure you are making a fully informed decision?	

Stage 3: DECIDE AND IMPLEMENT

Steps	Description	Select option
C1	Have you made a decision on the merits of the matter and what action, if any, should be taken to resolve the complaint?	
C2	Are there any systemic, policy or procedural issues which should be addressed to ensure similar complaints do not occur again? If so, these should be referred to the appropriate manager (and described on the next page).	
C3	Have you notified the complainant and respondent (if necessary) in writing of your decision?	
C4	Have you filed all documentation and records and closed the file, and provided all relevant documentation, supporting evidence and emails etc to the ISU?	
C5	Have you followed through to ensure your identified actions have been implemented?	

You should also check with the parties and monitor the ongoing situation as required.

COMPLAINT RESOLUTION SUMMARY

Steps	Description and Action
1.	What was the outcome achieved? If substantiated, please indicate what action was taken e.g. type of sanction applied, assessment altered, apology etc
2.	Is there a likelihood of the matter re-occurring? If YES, please indicate what action is proposed to mitigate such a re-occurrence:
3.	As a result of this complaint, is there any cause and effect on other business areas within the University Community that requires consideration? If YES, please indicate what action has been taken, if any:
4.	In finalising this inquiry, are there any indications that suggest the complaint may be part of a systemic or on-going issue? If YES, please indicate what action has been taken, if any:
5.	Could training (existing or otherwise) have prevented this complaint from occurring? If YES, please indicate what training options you would recommend:
6.	In the course of your inquiry, have you identified any deficiencies in policies and/or procedures that may require a review as a result of this complaint? If YES, please provide details:
7.	In the course of your inquiry, have you identified any deficiencies in internal control systems that may require a review as a result of this complaint? If YES, please provide details:

To the ISU (at complaints@curtin.edu.au)

I have attached all relevant information, emails, letters and other documents associated with the resolution of this complaint with this completed checklist (where not already done so), and now authorise you to close the file on the complaint as the matter has been resolved to the satisfaction of the University.