REQUEST FOR COMPLAINT CLOSURE BY LINE MANAGER – COMPLAINT HANDLING CHECKLIST ENTRY

Case Update Entry Form
Form: Complaint Handling Checklist
Notes: Dear Charlie,

Thank you for completing your enquiries into Complaint ID 20-00290.
Please complete the checklist (fully) below, then click on the SUBMIT button.

Kind Regards,

Integrity and Standards Unit
Curtin University
Tel: +61 8 6933 6194
Building 100 - Room 430

Email: ISU-CaseManagement@curtin.edu.au
Web: http://compliance.curtin.edu.au

Stage 1: CHECK AND ASSESS
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)
   YES 

A2. Have you registered the matter with the ISU if you received it directly?
   YES 

A3. Have you emailed the complainant within a working day to confirm receiving the complaint?
   YES 

A4. Do you consider the complainant to merits the issue in their complaint, what outcome they are seeking and whether they have any previous security concerns? 
   YES 

Stage 2: INVESTIGATE AND REVIEW
B1. Have you obtained information about the complaint, including consulting relevant policies and procedures, contacting relevant witnesses and obtaining evidence? If required?
   NO 

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?
   YES 

B3. Have you obtained and reviewed all relevant information to ensure you are making a fully informed decision?
   NO 

Stage 3: DECIDE AND IMPLEMENT
C1. Have you made a decision on the merits of the matter and what action, if any, should be taken to resolve the complaint?
   YES 

C2. Are there any systemic, policy or procedure 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.
   N/A 

C3. Have you notified the complainant and respondent in writing of your decision?
   YES 

C4. Have you filed all documentation and records of the file, and provided all relevant documentation, emails etc to the ISU?
   YES 

COMPLAINT RESOLUTION SUMMARY:
1. What was the outcome achieved?
   (join/substantially) 

Please tick any actions were taken
(a) direct the Line Manager(s) to undertake relevant training and education
(b) withholding an increment
(c) withdrawal of other benefits
(d) transfer to another suitable position in the University
(e) removal from any appointment or Office to which the Staff Member is appointed by the University while remaining in the employ of the University
(f) re-employment in substantive appointment where a decision to employment contract exists.
(g) denial of one or more classification levels or increments.
(h) termination of employment with notice.
(i) termination of employment without notice.
(j) other. Please specify the other: 

Please specify the other action:

Is there a likelihood of the matter re-occurring?
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

In examining this matter, are there any indications that suggest the complaint may be part of a systemic or ongoing issue?
Could training (existing or otherwise) have prevented this complaint from occurring?
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?
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?

Submit