

Accountable



Person centred complaints management system self audit

Principle	Criteria	Assessment Indicator 1, 2, 3, 4	What supports your assessment?	Recommended actions for improvement	Action plan (Who, what & when)
4. Accountable	Your process for resolving complaints is clearly outlined so that people know what to expect.				
4.1. Clear timelines	Your complaints handling system is easy to use and allows you to record, track and report complaints to ensure compliance with specified complaint handling timelines.				
4.1.1. Stages of a complaint	For those complaints that cannot be dealt with immediately, your organisation has reasonable target timelines for the stages of the complaints handling process and makes the person aware of these standards.				
4.1.2. System to ensure timely response	You, have a system to alert staff and managers to key points in the complaints process to help meet target timelines for complaints.				
4.1.3. Meeting timelines	Your target timelines are monitored, reported and generally met.				
4.2. Ongoing communication	You keep the person informed at all stages of the progress of their complaint. <i>This includes monitoring the progress of complaints and advising the person of extensions of times and reasons for extensions.</i>				

Person centred complaints management system self audit					
Principle	Criteria	Assessment Indicator 1, 2, 3, 4	What supports your assessment?	Recommended actions for improvement	Action plan (Who, what & when)
4. Accountable	Your process for resolving complaints is clearly outlined so that people know what to expect.				
4.3. Remedy implementation	Remedies are implemented as soon as possible after a matter has been resolved.				
4.4. Extended application	In cases where a remedy is provided to a complainant, active steps are taken by you to identify other people similarly affected and to provide them with the remedy, even if they have not made a complaint.				
4.4.1. Consistent application of remedies	The remedies offered to people with similar issues are consistent. <i>Where few complaints have been received, you would need to be clear in your approach as to how you would ensure that this occurs.</i>				
4.4.2. Monitoring outcomes	The implementation of remedies is monitored, reported and reviewed to ensure outcomes are appropriate and service improvements are made				
4.5. External complaints authorities	You refer complainants to an appropriate external complaints authority, such as the Disability Services Commissioner, when complaints involve a conflict of interest or remain unresolved, and you inform clients of their rights of external investigation and review.				

Person centred complaints management system self audit

Principle	Criteria	Assessment Indicator 1, 2, 3, 4	What supports your assessment?	Recommended actions for improvement	Action plan (Who, what & when)
4. Accountable	Your process for resolving complaints is clearly outlined so that people know what to expect.				
4.6. Investigation	The person investigating the complaint acts reasonably, objectively and in good faith, with each complaint investigated on its own merit.				
4.6.1. Natural justice	You adopt an approach to the handling, management and resolution of complaints and grievances that is underpinned by natural justice principles. <i>This means making sure that people are:</i> <i>(a) heard</i> <i>(b) that any conflict of interest is avoided.</i> <i>(c) people likely to be adversely affected by a decision or action are given reasonable opportunity to comment on the information or material.</i>				
4.6.2. Complaints file	The person investigating the complaint maintains a secure, central investigation file, documenting each step of the investigation process and all communications, and completes a report documenting the investigation findings. It may also be appropriate to place this information on the client file.				
4.6.3. Managing complaints	As part of a quality improvement process your guidelines require that each completed investigation is reviewed, preferably by a person who has not been involved in the complaint matter, to identify improvements in the investigation process. <i>This evaluation may be informal or formal depending on the nature and complexity of the investigation.</i>				

Person centred complaints management system self audit					
Principle	Criteria	Assessment Indicator 1, 2, 3, 4	What supports your assessment?	Recommended actions for improvement	Action plan (Who, what & when)
4. Accountable	Your process for resolving complaints is clearly outlined so that people know what to expect.				
4.6.4. Right of reply	You allow persons or work groups about whom the complaint is made the time to properly investigate and respond to the complaint.				
4.7. Conflict of interest	Staff are aware of the relevant code of conduct requirements where a conflict of interest may have been identified or is likely to be perceived by the person.				
4.8 Decisions	You make fair, objective and consistent decisions, taking into account all relevant circumstances and based on relevant factors, available evidence and authoritative criteria.				
4.8.1. Right of reply	You inform the person or work group about whom the complaint is made, of your decision/s and reason for the decision/s and, if necessary, invite comment.				
4.9. Conflict of interest	You ensure that the person reviewing the approach to the complaint has not had significant involvement in the issue under review and does not have a personal interest in the outcome.				

Person centred complaints management system self audit

Principle	Criteria	Assessment Indicator 1, 2, 3, 4	What supports your assessment?	Recommended actions for improvement	Action plan (Who, what & when)
4. Accountable	Your process for resolving complaints is clearly outlined so that people know what to expect.				
4.10. Transparency	You openly acknowledge areas for improvement and apologise, thereby increasing confidence and accountability.				
4.11. Reviews	You make sure the person bringing a complaint is informed of their right to internal reviews of decisions and you advise on how they may do this.				
4.11.1. Confidential review	You review the complaint confidentially if requested by the complainant and if this is appropriate in all circumstances.				
4.11.2. Independent review	You inform complainants that their complaint will be reviewed by a person who has not been involved in the complaint matter, where possible.				
4.11.3. External review	You inform the person of further avenues of review if they are not satisfied with the outcome of the internal complaint process conducted by the organisation.				

Person centred complaints management system self audit					
Principle	Criteria	Assessment Indicator 1, 2, 3, 4	What supports your assessment?	Recommended actions for improvement	Action plan (Who, what & when)
4. Accountable	Your process for resolving complaints is clearly outlined so that people know what to expect.				
4.11.4. Promotion of options	You regularly publish information about a complainant's right to seek internal review, external review or referral to another body.				
4.11.5. Staff support to access external review	Your staff understand the alternative avenues for dealing with a complaint and advise people of their rights to take their complaint to the Disability Services Commissioner.				
4.12. Complaints register and or service improvement	You have a simple and accessible system for recording, tracking, monitoring and responding to complaints, which also records the outcomes. This information is systematically used to inform service improvements.				
4.12.1. Essential information	You identify and record essential information on all complaints, whether they be verbal or in writing : (a) person's details including: name address, contact details, age, gender, cultural identity, type of disability (b) issue and description of complaint including date complaint received complexity of complaint, and factors important to and for the service user. (c) outcome sought (d) source of complaint (e) action taken and outcome achieved, category and description (f) date closed and time taken (g) recommendations for service improvement.				

Person centred complaints management system self audit

Principle	Criteria	Assessment Indicator 1, 2, 3, 4	What supports your assessment?	Recommended actions for improvement	Action plan (Who, what & when)
4. Accountable	Your process for resolving complaints is clearly outlined so that people know what to expect.				
4.12.2. Data analysis	Complaints data is collected in sufficient detail to facilitate comparisons with previous periods and identify system-wide and recurring patterns and trends in complaints.				
4.12.3. Statistics and shared learnings	Information on trends or aggregated complaints data is made publicly available.				
4.12.4. Staff responsibility for data collection	You have a member of staff responsible for ensuring consistency, timeliness and quality in how complaints are dealt with and data collected.				

