

Stage 1 Complaint - Desk Aid

1) Is it a complaint?

Check that the issue meets all of the following points:

- ☐ The person is dissatisfied
- ☐ They are acting as a member of the public
- ☐ It is about our actions, lack of actions or standard of service
- ☐ They want a response

2) What do I need to know?

Asking questions will help complainants feel heard. Have I asked:

- ☐ What has happened?
- ☐ What did they expect to happen?
- ☐ How do they feel they have been affected?
- ☐ What do they want as a result?

3) Check Point

- ☐ Do I know the seriousness of the situation?

Remember that if the allegations are serious it may be necessary to go to stage 2 immediately or to the central complaints team.

- ☐ Is the person asking for help to make their complaint?

If so, have I given them advice on available support or relevant advocacy services?

4) Resolving

- ☐ Can I resolve it now?

Most Stage 1 complaints can be resolved quickly with an explanation, apology or offer of a remedy: 'I'm sorry that X happened, I'm going to record this as a Stage 1 complaint. To resolve this for you I can...'

- ☐ No - have I told them when I will be in touch again?

Remember there are 10 working days at this stage to achieve the result.

5) Outcome

When delivering the outcome, have I:

- ☐ Given an explanation of what has happened?
- ☐ Said if I agree with the complaint?
- ☐ Apologised if necessary?
- ☐ Offered a solution or remedy (if possible)?
- ☐ Escalated to Stage 2 if the complainant is still unhappy and explained the next steps?

5) Record the complaint

Have I recorded the complaint on the relevant system with this information?

- ☐ What happened?
- ☐ What did the complainant want?
- ☐ Did I agree with the complaint or not?
- ☐ Did I offer a remedy and what was it?
- ☐ Were they happy to close the complaint?

Complaint Decision Flow

