

## Stage 2 Complaint Checklist

Checkpoint	Officer Action	Date Completed
<b>1. Complaint Clarification and Engagement</b>		
<input type="checkbox"/>	Read and understand the complaint thoroughly	
<input type="checkbox"/>	Contact the complainant personally (phone/email/meeting).	
<input type="checkbox"/>	Identify and list each complaint issue.	
<input type="checkbox"/>	Clarify the outcome the complainant is seeking.	
<input type="checkbox"/>	Explain what is and isn't within scope.	
<input type="checkbox"/>	Confirm understanding in writing to the complainant.	
<b>2. Planning and Information Gathering</b>		
<input type="checkbox"/>	List what information you already have for each issue.	
<input type="checkbox"/>	Identify what evidence is still required (e.g., policies, emails, interviews).	
<input type="checkbox"/>	Plan how and where to get each piece of evidence.	
<input type="checkbox"/>	Establish a clear investigation timeline.	
<b>3. Evaluating Evidence</b>		
<input type="checkbox"/>	Test evidence for reliability and relevance.	
<input type="checkbox"/>	Compare against policies, laws, procedures, and best practice.	
<input type="checkbox"/>	Document and reference all findings accurately.	
<b>4. Reaching a Decision</b>		
<input type="checkbox"/>	Determine what happened versus what should have happened.	
<input type="checkbox"/>	Assess whether the service fell short or not.	
<input type="checkbox"/>	Decide if the complaint is upheld, or not upheld, based on a balance of probability	
<input type="checkbox"/>	Justify the decision based on evidence.	
<b>5. Writing the Investigation Report</b>		
<input type="checkbox"/>	Include: Complaint Summary, Background, Investigation Summary.	
<input type="checkbox"/>	Detail Findings for each issue.	
<input type="checkbox"/>	Write a clear Conclusion and Recommendations.	
<input type="checkbox"/>	Ensure tone is respectful, neutral, and clear.	
<input type="checkbox"/>	Send the draft to the Complaints Team and Head of Service for review.	
<b>6. Remedy and Organisational Learning</b>		
<input type="checkbox"/>	Recommend actions to remedy injustice (e.g., apology, service fix, redress).	
<input type="checkbox"/>	Identify if the issue is systemic.	
<input type="checkbox"/>	Suggest service improvements if applicable.	
<input type="checkbox"/>	Share learning outcomes with relevant teams.	
<b>7. Records and Closure</b>		
<input type="checkbox"/>	Save and organise all documents securely.	
<input type="checkbox"/>	Follow GDPR and Records Management policies.	
<input type="checkbox"/>	Confirm actions taken and case closure with the Complaints Team.	