
Overview

This unit is about processing complaints of a minor nature through the procedure of informal resolution. It includes explaining the process to complainants and other relevant parties, and seeking to satisfy the concerns of the complainant within the procedure.

There are three elements:

- 1 Explain the process of informal resolution to relevant parties
- 2 Determine the complainant's acceptance of the informal resolution process
- 3 Record the outcomes and notify relevant parties

Target Group

This unit is for caseworkers whose responsibilities include processing complaints through informal resolution procedures.

Performance criteria

Explain the process of informal resolution to relevant parties

You must be able to:

- P1 review the case file and familiarise yourself with the circumstances of the complaint before contacting the complainant and/or other relevant party(ies)
- P2 establish correctly that the type of case can be addressed by the informal resolution process, referring any that cannot promptly to the proper authority
- P3 contact the complainant and introduce yourself, your organisation, and your role correctly, stating the purpose for your contact and explain the process followed in progressing informal resolution
- P4 provide the complainant with relevant written information explaining the process of informal resolution, in line with your organisation's procedures
- P5 communicate with all parties at a pace and at a level that promotes understanding
- P6 check for understanding, encourage questions and answer these accurately and clearly, whilst ensuring that any requirements for confidentiality are maintained
- P7 treat all parties courteously and helpfully, showing respect for their views

Determine the complainant's acceptance of the informal resolution process

You must be able to:

- P8 review with the complainant the outcomes of your discussions, setting out positively and constructively how the case can be resolved within the informal process
- P9 determine correctly the complainant's desired outcome from their complaint
- P10 confirm that the complainant consents to the informal resolution process, obtaining their written confirmation where required by your organisation
- P11 identify the actions necessary to address the complaint by informal resolution and notify all relevant parties of these promptly and correctly
- P12 identify those cases of complaint where the complainant will not accept an informal resolution, and progress these accordingly and correctly
- P13 ensure that all legislative requirements and codes of conduct relating to dealing with complainants and other relevant parties are met

Record the outcomes and notify relevant parties

You must be able to:

- P14 identify where the complainant is satisfied with the outcome, and invite them to sign a short statement of satisfaction, in line with your organisation's requirements
- P15 identify where the complainant remains unsatisfied with the outcome,

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- and wishes to progress their complaint further, referring the complaint promptly and correctly to the relevant person
- P16 record correctly and accurately the outcome of cases resolved by informal resolution, setting out a summary of the allegations made, a record of your interviews, the actions taken to resolve the complaint, and where available, include the written statement of satisfaction from the complainant
 - P17 issue your record of the outcome correctly and promptly to the relevant person
 - P18 notify all relevant parties correctly and promptly of the outcomes of the case

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Knowledge and understanding

You need to know and understand:

Explain the process of informal resolution to relevant parties

- K1 current organisational requirements and procedures relating to progressing and monitoring complaints or conduct matters
- K2 levels of responsibility of all parties involved in progressing complaints and those responsible for making key decisions
- K3 the requirements of legislation, guidelines and codes of conduct relevant to dealing with complainants and other relevant parties, within your level of responsibility
- K4 the methods for progressing complaints, including informal and formal resolution, and current organisational requirements for administering and monitoring these
- K5 the factors which must be met for complaints to be considered suitable for informal resolution
- K6 the types of complaints to which informal resolution procedures might be considered appropriate
- K7 the advantages of informal resolution in terms of the interests of both complainant and other relevant parties
- K8 the rights of the complainant within the informal complaints procedure

Determine the complainant's acceptance of the informal resolution process

You need to know and understand:

- K9 procedures for contacting complainants and other relevant parties, and for arranging interviews to obtain information
- K10 procedures for interviewing complainants and others, and for recording the information gained

Record the outcomes and notify relevant parties

You need to know and understand:

- K11 the importance of recording the outcome of complaints addressed by informal resolution
- K12 actions to be undertaken where complaints remain unresolved
- K13 those parties to be notified of decisions regarding the outcome

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