



## Fact Sheet

### Complaints System and Practice Self Audit Quick Checklist

Encouraging people who access your services to give feedback, and when necessary complain, about the supports you provide, not only empowers those individuals but also provides an opportunity to improve the overall quality of the services you provide.

This 'Complaints Systems & Practice Self-Audit – Quick checklist' is designed to give you a snapshot of the progress your organisation has made in relation to the development of a positive complaints culture. The checklist will assist you to identify and prioritise areas of your complaints management system that you may want or need to develop further. It covers key components of the *Disability Services Act 2011* and the *Disability Services Regulations 2015* (in relation to complaints) to help you determine your progress in relation to your legislative and regulatory compliance obligations and assist in your preparations for the National Disability Insurance Scheme (NDIS).

We suggest that you have a small group of people from your organisation (preferably from different areas of the organisation, e.g. people in receipt of services, families, direct support staff and management) and work through each item marking them in relation to whether the statement reflects your existing practices. There is space available to list any quality improvement initiatives to be undertaken, whether this is to build on good work you are already doing or to address areas you may need to improve further. As outlined in more detail in the *Good Practice Guide and Self Audit Tool* (pages 36-37) the steps we recommend are:

- Step 1 - Map what is happening now.
- Step 2 - Work out what is missing.
- Step 3 - Agree on the priority areas for work.
- Step 4 - Develop action plans for the agreed priority areas.
- Step 5 - Evaluate the outcomes to inform future plans.

A more in depth review of your organisation's complaints culture and complaints handling systems can be achieved by complementing the use of this checklist with the following resources that are available from the Disability and Community Services website:

- Good Practice Guide and Self-Audit Tool 2017 – a comprehensive guide to developing an effective person centred complaints resolution culture and process
- Everything you wanted to know about complaints... A booklet that provides tips for providers on successfully managing complaints

# Complaints Systems and Practice Self Audit - Quick Checklist

|   | References Key  | Y | Partial | N | Comments/further action |
|---|---|---|---------|---|-------------------------|
|   | <ul style="list-style-type: none"> <li>• <i>Disability Services Act 2011 (Act 2011)</i></li> <li>• <i>Disability Services Regs 2015 (Regs 2015)</i></li> <li>• <b>DCS Good Practice Guide (GPG)</b></li> <li>• <b>DCS Self-Audit Tool (SAT)</b></li> <li>• <b>DHHS Funding Agreement (FA)</b></li> <li>• The Quality and Safety Framework for Tasmania's DHHS Funded Community Sector (Q&amp;SF)</li> </ul>                             |   |         |   |                         |
| 1 | <p>Your organisation has clear complaints management policies and procedures that include information about rights, process timeframes, external complaints bodies, recording and reporting. All staff are familiar with the policies and procedures.</p> <p><i>Regs 2015 - Standard 7</i><br/> <b>DCS GPG – 7.3.2, 7.4, 7.5.2</b><br/> <b>DCS SAT – 1.1, 1.2, 1.3</b><br/> <b>FA – clause 13.4</b><br/> <b>Q&amp;SF – clause 8</b></p> |   |         |   |                         |
| 2 | <p>You adopt an approach to the handling, management and resolution of complaints that is person centred, underpinned by the rules of natural justice.</p> <p><b>DCS GPG – 7.3.2, 7.4, 7.5.2</b><br/> <b>DCS SAT – 1.1, 1.2, 1.3</b></p>  |   |         |   |                         |
| 3 | <p>There is a senior manager responsible for the effectiveness of the complaint management system.</p>  |   |         |   |                         |

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|   | <b>DCS GPG –7.3.1, 7.4</b>  |  |  |  |  |
| 4 | <p>You have informed all people who access your services of their right to complain and given them a copy of an accessible (language) document informing them of how to complain.</p> <p><b>DCS GPG – 7.2.1, 7.3.2, 7.5.2</b><br/> <b>DCS SAT – 1.5, 1.6, 1.7</b></p>       |  |  |  |  |
| 5 | <p>You have strategies in place to actively encourage feedback and complaints from people who access your services and support them to feel comfortable and valued when giving you feedback.</p> <p><b>DCS GPG – Chapter 2</b><br/> <b>DCS SAT – 1.6, 1.7, 1.8, 3.9</b></p> |  |  |  |  |
| 6 | <p>You have strategies in place to ensure that people who make complaints are treated respectfully, courteously and sensitively.</p> <p><b>DCS GPG – 7.2.2</b><br/> <b>DCS SAT – 2.2</b></p>  |  |  |  |  |
| 7 | <p>You assist people who access your services to make complaints including assisting them to put together their complaint and/or offering them access to external support or advocacy if required.</p> <p><b>DCS SAT – 1.8, 1.9</b></p>                                     |  |  |  |  |
| 8 | <p>You always clarify the issues with the person making the complaint to ensure all issues have been documented correctly including the outcome sought.</p> <p><b>DCS GPG – Chapter 7, p34 - Tips</b><br/> <b>DCS SAT – 3.2, 4.12.1</b></p>                                 |  |  |  |  |
| 9 | <p>All people who make a complaint are kept updated, in a manner that is agreed to with them, on a</p>  |  |  |  |  |

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|    | <p>regular basis about the progress/status of their complaint and about what/if action will be taken to address their concern.</p> <p>DCS SAT – 1.6, 3.1, 4.1.1, 4.2</p>  |  |  |  |  |
| 10 | <p>You have systems in place to ensure that the privacy and confidentiality of the person making the complaint is protected throughout and after the complaint process.</p> <p>DCS GPG – 7.5.2 DCS SAT – 2.3</p>  |  |  |  |  |
| 11 | <p>You have strategies in place to ensure that people are not treated adversely as a result of making a complaint.</p> <p>DCS SAT – 1.2 (c), 1.11</p>   |  |  |  |  |
| 12 | <p>You inform people who have made a complaint of their right to take further action if they are unhappy with the way their complaint is handled.</p> <p>DCS GPG – 7.3</p>  |  |  |  |  |
| 13 | <p>All improvements and changes made as a result of feedback or complaints are communicated to the person who made the complaint and, as relevant, to other people who access your services and staff.</p> <p>DCS GPG – Chapter 2<br/>DCS SAT – 1.5, 4.4, 5.1</p> |  |  |  |  |
| 14 | <p>All staff understand the role of feedback and complaints in improving the quality of the supports people who access your services receive.</p> <p>DCS GPG – Chapter 2,<br/>DCS SAT – 3.7</p>   |  |  |  |  |
| 15 | <p>All staff receive training in issues relevant to, and the handling of, complaints through staff induction / orientation and subsequent specific training activities.</p>   |  |  |  |  |

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|    | DCS GPG – 7.4, 7.6.5,<br>Chapter 8<br>DCS SAT – 1.10, 3.6   |  |  |  |  |
| 16 | You have strategies in place to ensure that all staff in your organisation view and respond to complaints positively.<br>DCS SAT – 1.10, 3.6, 3.8   |  |  |  |  |
| 17 | All staff know where to refer complaints internally if they are unable to respond to a complaint made to them.<br>DCS SAT – 1.3, 1.7  |  |  |  |  |
| 18 | All staff aware of the external complaint resolution options.<br>DCS GPG – 7.3<br>DCS SAT – 4.5, 4.11.3, 4.11.5   |  |  |  |  |
| 19 | You involve people who access your services and staff in the creation and improvement of your complaint handling documents and systems.<br>DCS GPG – Chapter 2, 7.4<br>DCS SAT – 5.2.2                                  |  |  |  |  |
| 20 | You maintain records of all complaints and use this information to inform quality improvement initiatives at an individual, service and organisational level.<br>DCS GPG – 7.4.7<br>DCS SAT – 1.2, 4.12, 5.1, 5.2       |  |  |  |  |
| 21 | Complaints information is regularly provided to the Board of Management to further inform discussion and decisions regarding the future directions of the organisation.<br>DCS GPG – 7.3.2<br>DCS SAT – 5.1, 5.2.1, 5.3 |  |  |  |  |