



COMPLAINT TRIAGE WORKFLOW

Purpose: To assess the validity and severity of a complaint



- ☐ Complaint submitted via the Complaint Form
- ☐ Complaint Assessor reviews and may conduct a preliminary investigation
- ☐ Complaint categorised as:



**Complaint
unfounded**



**Minor
Misconduct**



**Moderate
Misconduct**



**Serious
Misconduct**

Next steps will be determined based on the categorisation of the complaint, with all possible routes outlined in the workflow below

- ☐ Within 14 days of receiving the Complaint Form, the Complaint Report issued to Complainant with next steps



COMPLAINT UNFOUNDED



- ☐ The complaint has been found to be unfounded, the Complainant can challenge this decision and ask for it to be appealed at the next level, using the 'Review Request', see the Review Workflow guidance

MINOR MISCONDUCT

- ☐ Complaint Assessor to discuss the issue(s) with Complainant and Respondent
- ☐ Most appropriate resolution determined by Complaint Assessor and communicated with the Complainant and Respondent via the Informal Resolution Letter template
- ☐ A record of the complaint and resolution to be kept in a confidential & secure filing system (physical or electronic) for 12 months
- ☐ If no further complaints are made about the Respondent of a similar nature the complaint will be considered spent, and the record will be destroyed inline with best practice
- ☐ If similar complaints are made about the Respondent, the matter will be escalated to the next appropriate level. In most cases, this will be addressed through the Mediation Process (Moderate Misconduct), where suitable

MODERATE MISCONDUCT

- ☐ Mediator to be appointed by Complaint Assessor
- ☐ Complainant and Respondent to submit case summaries - see Case Summaries guidance
- ☐ Mediator to conduct mediation meetings (virtual/in-person)
- ☐ Written agreement to be drafted by the Mediator, approved by the Complaint Assessor and signed by the Complainant and Respondent - see Mediation Agreement guidance
- ☐ If mediation fails, or the written agreement will not be signed by either party, the complaint should be resolved by a Disciplinary Hearing (Serious Misconduct).

SERIOUS MISCONDUCT

- ☐ Complaint Assessor to conduct a full investigation, completing the Investigation Report, determining if a suspension is required - see Suspension guidance
- ☐ Complaint Assessor to arrange a hearing - see Arranging a Hearing guidance
- ☐ Complaint Assessor to select 3 Disciplinary Panel members - see Selecting a Disciplinary Panel guidance
- ☐ Complaint Assessor to communicate the 3 Disciplinary Panel members with the Respondent and the Complainant, they will each be given the option to replace one Panel Member each, whereby up to two new Members will be opted on to the Panel
- ☐ Complaint Assessor to select a Chair of the Disciplinary Panel based on the final Disciplinary Panel formation
- ☐ Complaint Assessor to call for witness statements from supporters of the Complainant and Respondent - see Witness Statement guidance
- ☐ Panel bundle to be collated and distributed to the Complainant, Respondent and Panel Members - see Panel Bundle guidance
- ☐ Panel conducts Disciplinary Hearing - see Disciplinary Hearing guidance
- ☐ Post the Disciplinary Hearing, the Respondent and Complainant will be written to with the formal decision - see Post Disciplinary Hearing guidance