

DEALING WITH COMPLAINTS INTERNAL CONTROL QUESTIONNAIRE

Complaints handling forms part of the action taken to mitigate risks against gaining a bad reputation and should form part of a reputation management audit.

Question	Yes	No	N/A	Comments
Recording <ul style="list-style-type: none"> • Have procedures been established on how to handle complaints? • Has a nominated officer been appointed with responsibility for this area? • Is a complaints register held? 				
Notification of Complaints <ul style="list-style-type: none"> • What procedure is undertaken when an initial complaint is received? • Is there a time frame for a response? • If the matter is complex, is appropriate professional advice obtained?? • Who authorizes remedial action? 				
General <ul style="list-style-type: none"> • What procedures are in place for investigation and documentation of findings? • Who signs the formal response to the complaint? • What follow up action is undertaken? 				
Management Meetings <ul style="list-style-type: none"> • Are departmental complaints reviewed at departmental management meetings? • Does the Executive Management Team review complaints where litigation is involved? 				