



# Complaint and Feedback Register

## Why is this important?

The Complaint and Feedback Register is a working document that shows what complaints you have managed and are currently managing and it provides a record of the process followed and outcomes. It also provides a reporting tool for management to review trends. The register allows for monitoring patterns and trends to identify the way the service can improve.



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## Complaint and Feedback Register Information

The **Complaint and Feedback Register workbook** contains multiple worksheets to assist you in managing Complaints and to identify and improvements you can make.

- Manual - embedded PDF file. Double click to open Complaints Register Manual
- Complaint and Feedback Register - where details are kept of complaints and how they are being managed
- Example Worksheet - provides complaint examples for reference
- Report - summary of all complaints in Pivot Table format (can be changed to suit your requirements) that you plan to make
- CI (Continuous Improvement) Report - summary of any improvements in Pivot Table format (can be changed to suit your requirements)
- Dropdown Lists - contains lists that standardise dropdown menus in the register

## Complaint and Feedback Register Worksheet

The **Complaints and Feedback Register worksheet** is where you will record the information associated with each complaint raised.

Figure 1 below provides an example of the register which contains populated examples. Ensure the examples are removed so your records only contain your information. To delete records, select rows and delete.

	A	B	C	D	E	F	G
1	Complaints Register for [Name]						
2							
3	Number	Date Received	Category	Description and impact of complaint	Complainant Desired outcomes	Investigation Undertaken	Investigation Record of What Happened
4	001	1/01/2021	Breach of Privacy	Participant overheard a staff member (A) telling another staff member (B) about some information the participant shared with them(A) in confidence	Apology and for this not to occur in future	Yes	Interviewed staff (A&B)
5	002	3/02/2021	Conduct	I wanted staff member (C) to work with me	Be able to choose who supports me	No	

Figure 1: Screenshot of populated Complaint and Feedback Register populated with examples

The register has been formatted in a table layout. This will allow you to add new items and be automatically included in the table.

(Refer to Dropdown lists for more information on table format.)



The register consists of the following in Table 1 below. The Column Reference is the identifier to a particular column in MS Excel.

Table 1: Complaints Register items

Column Reference	Item	Data Type	Purpose / Comments
A	Number	Free text	Unique identifying label You may wish to create your own unique numbering system e.g. 2021001 or 202103-001
B	Date Received	Date	Record date of complaint
C	Category	Dropdown	Used to categorise types of complaints for reporting purposes You can edit or add any categories that you require (refer to Dropdown List section below)
D	Description and impact of complaint	Free text	Brief description of what the complaint was about including any impacts on those involved
E	Complainant Desired outcomes	Free text	What does the complainant want as outcome
F	Investigation Undertaken	Dropdown	Will you be undertaking an investigation Yes / No / Not Applicable
G	Investigation Record of What Happened	Free text	Brief description of investigation
H	Investigation Findings	Free text	Findings from investigation
I	Investigation Actions	Free text	Actions arising from investigation
J	Complainant feedback on complaint handling process	Free text	Brief description of any participant feedback or comments on potential improvements to the complaint handling process
K	Improvement action to complaint handling process required	Dropdown	Any improvements to the complaints handling process identified?
L	Organisational Improvement Actions identified from complaint	Free text	What are the improvement actions to be taken
M	Improvement Implemented	Dropdown	Has the improvement identified been implemented



Column Reference	Item	Data Type	Purpose / Comments
N	Status	Dropdown	<p>Status of Complaint or Feedback</p> <p>There may be several reporting stages before the complaint is resolved.</p> <ul style="list-style-type: none"> <li>- Investigating: investigation into complaint underway</li> <li>- Investigating Complete: investigation completed, not yet started next stage</li> <li>- Action proposed: any actions proposed have been started</li> <li>- Action complete: any actions proposed have been completed</li> <li>- Resolved: complaint fully resolved. Investigation AND any subsequent Actions have been completed</li> <li>- Unresolved: complaint has not been resolved. Investigation and Actions have been completed.</li> </ul> <p>When a Complaint or Feedback is marked Resolved, it will look greyed out in the register as a visual clue is it resolved</p>
O	Date Closed	Date	Date complaint is no longer active
P	Links to relevant information	Free text	<p>You can insert hyperlinks to files or folders with further information e.g. statements or full investigation reports.</p> <p>Shortcut Ctrl+k, you can either put in a short text or leave the full path.</p> <p>Alternatively, this can be a note to where information can be located.</p>

**TOP TIP:** To add a new paragraph within a cell, press Alt+Enter.



## Filtering Your Data

Excel Filter allows you to view the rows you want to focus on and hides the other rows.

For example, if you want to view just complaints relating to Breach of Privacy, click the filter triangle in the heading of the relevant column and select the filters, click OK and only those selected will show (Figure 5).

You can tell that a filter has been applied as the filter now has a different icon (Figure 4). Also the row numbers on the left hand side will be blue (Figure 2).

	A	B	C	D	E	F	G
1	Complaints Register for [Name]						
2							Investigation
3	Number	Date Received	Category	Description and impact of complaint	Complainant Desired outcomes	Investigation Undertaken	Investigation Record of What Happened
4	001	1/01/2021	Breach of Privacy	Participant overheard a staff member (A) telling another staff member (B) about some information the participant shared with them(A) in confidence	Apology and for this not to occur in future	Yes	Interviewed staff (A&B)
5	002	3/02/2021	Conduct	I wanted staff member (C) to work with me	Be able to choose who supports me	No	

Figure 2: Unfiltered table

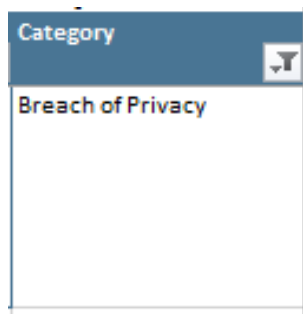
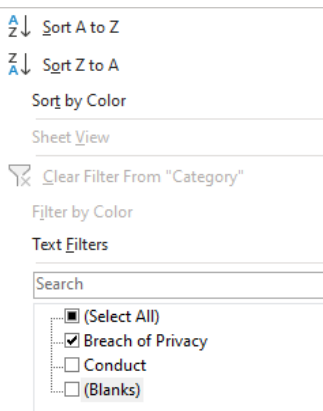


Figure 3: Select filters

Figure 4: Change in icon (Risk Priority) indicating table is filtered

	Number	Date Received	Category	Description and impact of complaint	Complainant Desired outcomes	Investigation Undertaken	Investigation Record of What Happened	Investigation Findings	Investigation
3	001	1/01/2021	Breach of Privacy	Participant overheard a staff member (A)telling another staff member (B) about some information the participant shared with them(A) in confidence	Apology and for this not to occur in future	Yes	Interviewed staff (A&B)	Confirmed breach of privacy occurred	Apology prov
4									

Figure 5: Filtered table



## Report and Continuous Improvement (CI) Report Worksheets

These are optional worksheets should you wish to use them.

If you are familiar with pivot tables, you can create your own reports as required. (For more information on Pivot Tables, [click here](#))

The **Report Worksheet** provides a summary of your Complaint and Feedback Register. Two simple reports have been included in this template.

The **CI (Continuous Improvement) Report Worksheet** provides a summary of the proposed Improvement Plan.

These can be used to easily show you how many complaints, feedback, investigations or continuous improvement actions are still in progress and what categories they are (Figure 6) or you can see in what Categories the complaints are included in (Figure 7). You can also use the dropdown filters to adjust your report as required.

Over time, these may provide you with assistance in targeting areas of your business that need focussing on by showing you Complaints in each Category.

Count of Category	Status	Action complete	Action proposed	Grand Total
Breach of Privacy	(blank)		1	1
Conduct	(blank)	1		1
(blank)				
<b>Grand Total</b>		<b>1</b>	<b>1</b>	<b>2</b>

Figure 6: Example of Complaints Report in pivot table format

Status	Category	Count of Category
<input type="checkbox"/> Action complete	Conduct	1
<b>Action complete Total</b>		<b>1</b>
<input type="checkbox"/> Action proposed	Breach of Privacy	1
<b>Action proposed Total</b>		<b>1</b>
<input type="checkbox"/> (blank)	(blank)	
<b>(blank) Total</b>		
<b>Grand Total</b>		<b>2</b>

Figure 7: Example of Complaints Report in pivot table format





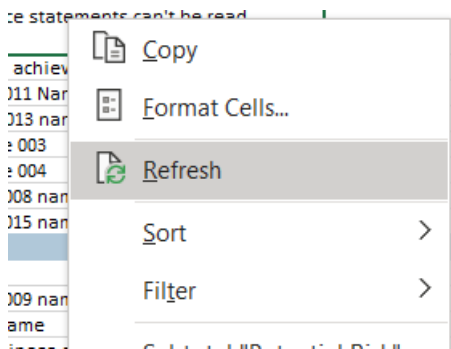
## Updating Pivot Tables

Pivot Tables allow you to summarise particular information from your register into a table for reporting or analysis purposes.

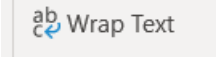
The Pivot Tables have been set to update upon opening the MS Excel worksheet.

However, if you have been updating the Risk Register worksheet and want to see an updated report, you will need to manually update the Pivot Table.

- Right click anywhere in the Pivot Table
- A menu will open, select Refresh



You also may notice that text may not automatically wrap in the cell.

You can adjust this by selecting the relevant cells, then click  Wrap Text in the Home menu.



## Dropdown Lists Worksheet

The **Dropdown Lists worksheet** contains various lists that appear in the dropdown menus in the Complaints Register.

These lists are to ensure consistency in capturing data which will allow you to see trends or patterns when analysing the data.

For the Complaints Category, there are currently 6 items to select from (Figure 8). You can customise this list to make it more relevant to your needs and items can be added to the list by typing a new item at the bottom of the existing list.

The lists have been formatted as a 'table', meaning if you add an item at the bottom, it will automatically include that item in the list.

A visual clue is the small blocks at the bottom right-hand corner (highlighted in blue in Figure 9). If the table doesn't automatically update when you add a new item, you can also select the blocks and drag down to include the new item(s).

Figure 10 shows how the table will look when you add another item to the list.

	A
1	Category
2	Abuse
3	Saved to this PC
4	Breach of Privacy
5	Conduct
6	Environment
7	Neglect
8	

Figure 8: Example of dropdown list

	A
1	Category
2	Abuse
3	Assault
4	Breach of Privacy
5	Conduct
6	Environment
7	Neglect
8	

Figure 9: Visual clue to where the table ends

	A
1	Category
2	Abuse
3	Assault
4	Breach of Privacy
5	Conduct
6	Environment
7	Neglect
8	Added Category

Figure 10: Adding another category to the list

There are other dropdown lists that are available but are not editable. These are there for the functionality of the Complaint and Feedback Register.