

Assessment form template

The following templates assist case workers making an initial assessment of a complaint. Their key aims are to check the complaint meets the statutory requirements to proceed to investigation, to summarise its main characteristics, and to flag up any human rights issues.

Case ref:

Complainant:

Body complained against:

Jurisdiction:

Description of complaint:

Date received:

Initial assessment	Yes	No
1. Is the organisation within jurisdiction?		
2. Is the subject of the complaint within jurisdiction?		
3. Is the complainant entitled to make a complaint?		
4. Is the complaint within the time limit?		
5. Have the organisation's formal complaints procedures been fully exhausted?		
Does it include a complaint about the organisation's complaint handling?		

Initial assessment	Yes	No
6. Has the complainant had a remedy through court action?		
7. Has the complainant had recourse to a tribunal?		
8. Is the complaint from someone else?		
Is there any evidence that the complainant is unable to act for themselves?		
Is the representative a suitable person to act on behalf of the complainant?		
9. Is there sufficient information for the complaint to be assessed?		

Initial assessment check – investigating officer	Yes	No
1. Initial assessment by casework officer agreed?		
2. Exercise discretion re an aggrieved person and accept a complaint on his or her behalf?		
3. Exercise discretion re the time limit?		
Investigating officer: Date:		

Assessment – investigating officer	Yes	No	N/A
1. Proportionality: Is an investigation appropriate and necessary?			

Assessment – investigating officer	Yes	No	N/A
2. Practical outcome: Would an investigation directly bring about a solution or adequate remedy?			
3. Public interest: Would investigating the issues of complaint be of potential benefit to the general public?			
4. Does the complainant refer to specific human rights or FREDA values?			
Please provide details and any potential further action			

Outcome of assessment – investigating officer	Yes	No	N/A
1. Close case			
2. Settlement			
3. Investigate case			
Comments:	-	-	-
Investigating officer:			
Date:			