

QUICK ASSESSMENT TEMPLATE AND GUIDE FOR UNACCEPTABLE BEHAVIOUR COMPLAINTS

1. This Quick Assessment (QA) template and guide is provided as a tool to assist in preparing and conducting a QA for an unacceptable behaviour complaint. If this guidance conflicts with [DI\(G\) ADMIN 67-2 Quick Assessment](#), the DI(G) is to take precedence.
2. The information you gather in conducting a QA is to be summarised in the QA brief to the initiating commander/manager. The template is a guide only and should be amended to suit each situation. Keep in mind that every complaint is different and must be considered in the context of its setting. Take care to conduct the QA in a full and proper manner. If it is necessary to include other matters, do not be constrained by this template or guide. The sections in the boxes below are the elements to include in the brief. The text outside the boxes provides guidance on the conduct of the QA.
3. A QA is **not** an investigation or an inquiry. The purpose of a QA is to quickly establish the facts of an incident and recommend a way forward. Adverse administrative action will rarely be pursued on the basis of a QA alone as the principles of procedural fairness will rarely have been adhered to during the QA's evidence gathering and recommendation process. If adverse administrative action is possible then further inquiry would normally have to be conducted. Such inquiries (ADF are to refer to ADFP 06.1.4 Administrative Inquiries Manual) have to comply with the principles of procedural fairness. Guidance on procedural fairness can be found in ADFP 06.1.3 *Guide to Administrative Decision Making* and the *Decision-makers Handbook: Making personnel related decisions for ADF members and APS employees*, which is available on the Pay and Conditions website). Legal advice should be sought if further inquiries are required.
4. The QA and written brief should be completed within 24 hours of being directed to conduct a QA. However, if this is unachievable, the initiating commander/manager can extend this period but it should not exceed 3 working days (refer to [Annex D to DI\(G\) PERS 35-3](#) Management and Reporting of Unacceptable Behaviour).

Before commencing:

5. You should be familiar with the following references:
 - a. [DI\(G\) PERS 35-3 Management and Reporting of Unacceptable Behaviour](#);
 - b. [DI\(G\) PERS 35-4 Sexual Offences](#);
 - c. [DI\(G\) ADMIN 45-2 Reporting and Investigation of Alleged Offences within the Australian Defence Organisation](#); and
 - d. [DI\(G\) ADMIN 67-2 Quick Assessment](#).
6. Have you received a direction (verbal or written) from the commander/manager? Ensure that you know:
 - a. What is the complaint about? If verbal, record the details. If written, ensure you have a copy.
 - b. Who is involved? Complainant, respondent, witnesses, including possible parties not named in the complaint.

- c. The timeline for completion of the QA.
 - d. Any supporting information or documentation provided by the complainant.
7. Be aware of the limits of the QA. A possible criminal offence or a Defence Force Discipline Act (DFDA) offence is a notifiable incident in accordance with [DI\(G\) ADMIN 45-2](#) and will require a different management approach. If during the conduct of the QA a possible offence is identified, the QA process should be suspended and advice sought from the initiating commander/manager.
8. Seek expert advice where necessary. For example:
- a. Senior Equity Advisor (SEA);
 - b. Defence Equity Coordinator (DEC) in your regional Fairness and Resolution Centre;
 - c. Group HR (including Conduct and Performance Cells in DSG or Group HR); and/or
 - d. Colleagues experienced with the conduct of a QA.

Conducting interviews

9. Be prepared before you conduct interviews with the parties. Interviews may be conducted by telephone, email or face-to-face. Take note of the date and time of each interview. Interview notes or records of conversation are not formal statements. They are to be included as attachments to the QA brief. The Record of Conversation template is a Webform OC097.
10. At the commencement of the interview, you should advise each party:
- a. The purpose of the interview is to conduct a QA on the complaint of unacceptable behaviour.
 - b. The QA is required to be conducted in accordance with Defence policy DI(G) PERS 35-3 Management and Reporting of Unacceptable Behaviour and DI(G) ADMIN 67-2 Quick Assessments.
 - c. The QA, including records of interview, may be provided to the complainant, respondent or affected parties. The QA may also be used by any subsequent inquiry or investigation in relation to the matters raised.
 - d. The matter to be discussed is Staff-in-Confidence and is not to be discussed by the interviewee with others unless there is a requirement for official purposes and those people have a role in the management or resolution of the matter.
11. During the conduct of the interview, you should seek the following information, or verify the information you have been provided. Details should include:
- a. names of parties involved and their workplace;
 - b. date, time and place of alleged incident(s);
 - c. other parties involved and what took place;

- d. supporting information or evidence;
- e. comment in relation to the allegation(s) (emphasise to the individual they should remain unbiased and do not include personal judgements); and
- f. impact on health of individuals, including any concern for occupational health and safety or wellbeing (this is not an assessment of health, but should address fears of victimisation and whether the individual has sought health/medical support due to the issue).

12. When conducting your interviews, refrain from pursuing lines of inquiry from the information you gather. This is a quick assessment not an inquiry.

Drafting the QA report

Title: Quick Assessment Brief for [insert name of initiating officer/manager]
Subject: Complaint of Unacceptable Behaviour [insert identifier, eg complainant's name, respondent's name or event]
Date of incident: [insert date or range of dates of alleged unacceptable behaviour]

DIRECTION RECEIVED

Details of the direction provided to the QA officer: <ul style="list-style-type: none">• who requested the QA;• when the QA was requested (date/time);• the timeline for the QA (generally with 24 hours, unless directed otherwise); and• if appropriate, date and time of the completed QA brief.
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ALLEGATION(S)

Summary of the Allegation(s) or Incident(s)
Provide a summary of the specific allegations from the complaint.

Summary of Details Known
<ul style="list-style-type: none">• Parties involved:<ul style="list-style-type: none">• Complainant – [name, workplace].• Respondent – [name, workplace].• Witness – [name, workplace].• Other parties involved – [name, workplace].• Date, time and place of alleged incident(s):• Supporting information or evidence: [Identify the information – do not provide assessment at this point] xxxx is provided at Attachment [X].

PARTIES INTERVIEWED

- [Name]. Interview notes / record of conversation with [name] is Attachment [X].
- [Name]. Interview notes / record of conversation with [name] is Attachment [X].
- [Name]. Interview notes / record of conversation with [name] is Attachment [X].

Complainant's Desired Outcome(s)

Identify the complainant's desired outcome.

13. If the complainant did not specify their desired outcome when making their complaint, you should seek this information from the complainant when they are interviewed.

14. It is possible that a complainant, respondent or other party may not be available to be interviewed or advised of the allegation in the time available for the QA. If so, the reasons must be explained in your report as this will have a bearing on your assessment and recommendations.

ACTION(S) TAKEN TO DATE

- What action has been taken to date to resolve this situation?
- Has the respondent been informed of the allegation?
- What advice have you considered in the conduct of the QA?
- Are other inquiries or investigations currently underway that are associated with, or directly related to this allegation?

15. Actions to resolve the situation might include attempts by the complainant to self resolve, or efforts by a lower level supervisor to seek resolution at the time of the incident.

16. An example of an investigation that might be linked to the current allegation could relate to an alleged assault that has been referred to the ADF Investigative Service or Code of Conduct delegate. The alleged assault might be related to a racial harassment allegation that is the subject of the QA.

ASSESSMENT OF THE COMPLAINT

What is your assessment of the complaint based upon the evidence? (Do not make any assumptions or provide personal judgments.)

Type of Unacceptable Behaviour

Is the complaint about unacceptable behaviour as defined in [Annex B to DI\(G\) PERS 35-3](#) ?
If so, what is the category of unacceptable behaviour?

Resolution of Unacceptable Behaviour

What options are available and appropriate for the resolution of this complaint, include type of informal resolution or form of inquiry?

Notification/Reporting

What are the notification or reporting requirements for this type of incident?

Safety, Health & Wellbeing

Any known impact of the allegation on the safety, health or wellbeing of individuals?

Systemic/Procedural/Cultural/Training/Communication Issues

Have any systemic, procedural, process, cultural, training or communication issues been identified.

17. For definitions and categorisation of unacceptable behaviour, refer to [Annex B to DI\(G\) PERS 35-3](#):

- a. harassment;
- b. workplace bullying;
- c. sexual harassment;
- d. discrimination;
- e. abuse of power; and
- f. inappropriate workplace relationships and conflict of interest.

18. For resolution options, refer to [Annex E to DI\(G\) PERS 35-3](#) :

- a. Informal Resolution:
 - i. self-resolution,
 - ii. supported self-resolution,
 - iii. apology,
 - iv. Alternative Dispute Resolution (such as mediation or workplace conference),
 - v. counselling,
 - vi. individual and group development needs; or
- b. Formal Resolution – if a formal resolution seems appropriate your recommendations should include referral to the appropriate delegate for further inquiry.

19. For reporting requirements, refer to [Annex F to DI\(G\) PERS 35-3](#):

- a. Fairness and Resolution (FR) - all complaints of unacceptable behaviour must be reported to FR irrespective of the outcome;

- b. OHSB and/or Comcare - where the incident is work related and resulted in:
- i. death;
 - ii. serious personal injury (physical and psychological);
 - iii. incapacity (time off work); or
 - iv. dangerous occurrence (refer to guidance in the reference).

20. Safety, Health and Wellbeing Issues. Assess whether measures are required to protect any party from victimisation. This item will also reflect your assessment of the need to report to OHSB / Comcare. Refer to [Annex C to DI\(G\) PERS 35-3](#) for support options available.

21. Systemic / Procedural / Cultural / Training/ Communication Issues. Identify any other issues that might have had an impact and need to be addressed.

RECOMMENDATIONS

Based on your assessment of the complaint, provide the commander/manager with **recommendations**.

Recommendation in relation to the complaint:

- no further inquiry – close complaint because:
 - allegations do not constitute unacceptable behaviour as defined in DI(G) PERS 35-3 (*but may require recommendation for an alternative form of management*); or
 - there is insufficient information to pursue further inquiry; or
 - the complaint is trivial or inconsequential (*this recommendation must be used with caution and strongly supported by the information gathered and your assessment*); **or**
- resolve informally – (*describe which option(s)*); **or**
- conduct further inquiries (*specify where appropriate; for ADF refer to ADFP 06.1.4 Administrative Inquiries Manual for further guidance on what type of inquiry is appropriate in the circumstances*).

Other recommendations as appropriate in relation to management responsibilities:

- Reporting actions – FR / OHSB / Comcare
- Support measures
- Systemic/procedural/cultural/training/communication issues

Signature Block

Name

Rank/Position

Date

Attachment(s)

Attachments should include:

- notes on direction of QA (if provided);

- notes of interview, or records of conversation; and
- any supporting documentation or evidence.

22. For the complaint management process and decisions to be made by commanders/managers, refer to [Annex D to DI\(G\) PERS 35-3](#). A record of the commander/manager's decisions is to be recorded. You may choose to insert another section (below) in the QA report to provide a place for the decisions to be recorded.

Commander/manager decisions:

I concur / do not concur with recommendations. (*delete as appropriate*)

Additional or alternative decisions and directions (*if appropriate*):

-
-
-

Signature block of commander/manager

Date

On Completion:

23. The QA brief is to be provided to the initiating commander/manager for consideration and action.

24. A unit case file must be created for each unacceptable behaviour complaint in accordance with POLMAN 3. The QA brief and any associated records are to be placed on the case file.

25. Refer to [Part Three of DI\(G\) PERS 35-3](#) in relation to record-keeping and release of records.