



COMPLAINTS & APPEALS  
POLICY AND PROCEDURE



## Table of Contents

1. Overview of the complaints and appeals policy and procedure	2
2. Grievances (informal) procedure	4
3. Complaints (formal) procedure	5
4. Record keeping	8
5. Grievance, complaints and appeals process flow chart	9
6. Fees and charges	10
7. Responsibilities	11
8. Related documents	12

## 1. Overview of the complaints and appeals policy and procedure

### 1.1. Purpose

In accordance with the Standards for Registered Training Organisations 2015, Allara has developed this policy and procedure to outline the procedures for Stakeholders to have their complaints and appeals addressed effectively, efficiently, fairly and inexpensively in a timely manner.

The procedures set out in this policy adopt the principals of natural justice and procedural fairness. They do not replace or modify procedures or any other responsibilities which may arise under other policies or under statute or any other law. Nothing in this policy and procedure limits the rights of individuals to take action under Australia's Consumer Protection laws. Also, these procedures do not circumscribe an individual's rights to pursue other legal remedies

### 1.2. Definitions

- Allara** - Allara Investments Pty Ltd, trading as Allara learning and is inclusive of; Tactical Training Group Pty Ltd, RTO provider No: 91054 (TTG) and W G learning Pty Ltd, RTO Provider No: 91178 (WGL).
- TTG** - Tactical Training Group Pty Ltd, RTO provider No: 91054 (TTG)
- WGL** - W G learning Pty Ltd, RTO Provider No: 91178 (WGL)
- Grievance** - a concern about a matter brought to the attention of Allara through informal means, i.e. through discussion
- Complaint** - a formal process undertaken if a grievance cannot be resolved informally
- Complainant** - a stakeholder whom raises the grievance or lodges the formal complaint
- Appeal** - the process undertaken where the complainant is dissatisfied with the outcome of the complaints procedure
- Appellant** - a stakeholder whom is dissatisfied with the outcome of a grievance or formal complaint and requests to undertake the appeal process
- Stakeholder** - any student or prospective student, employer, client, staff member or third party of Allara

### 1.3. Scope

The policy applies to all participants, clients, staff and stakeholders of Allara Learning (Allara) inclusive of those enrolled with Tactical Training Group Pty Ltd, RTO provider No. 91054 (TTG) and W G learning Pty Ltd, RTO Provider No. 91178 (WGL).

## 1.4. Policy

- 1.4.1. In the conduct of its services, Allara ensures that any grievance, complaint and/or appeal brought forth from a stakeholder is handled in a;
- i. constructive,
  - ii. timely,
  - iii. fair,
  - iv. unbiased, and
  - v. equitable manner
- which is easily accessible
- 1.4.2. Where a participant chooses to access this policy and procedure, Allara will maintain the participant's enrolment while the complaints and/or appeals process is ongoing
- 1.4.3. The complaints and appeals process will be provided at no cost to the complainant unless where external services and/or legal action is required to resolve the complaint
- 1.4.4. A complaint may be related but not limited to allegations involving the conduct of:
- i. the RTO, its trainers, assessors or other staff;
  - ii. a third party providing services on the RTO's behalf, its trainers, assessors or other staff; or
  - iii. a learner of the RTO, and
- 1.4.5. A complaint can be defined as a Stakeholder's expression of dissatisfaction with any aspect of Allara's services and activities, such as:
- i. the enrolment or induction process;
  - ii. the quality of education provided;
  - iii. academic matters, including Stakeholder progress, assessment, curriculum and awards in a VET course of study;
  - iv. handling of personal information and access to personal records;
  - v. the way someone has been treated

## 2. Grievances (informal) procedure

### 2.1. Raising a grievance

- 2.1.1. If a stakeholder has a complaint they should be encouraged to speak with an Allara staff member directly to resolve their concerns or difficulties
- 2.1.2. after receiving a grievance from a stakeholder, the Allara staff member is to;
  - i. Attempt to resolve the grievance within their scope of responsibility, or
  - i. Notify management of the grievance

### 2.2. Unresolved grievance

- 2.2.1. If a stakeholder feels that the grievance has not been resolved they can lodge a formal complaint through sending written notification of the complaint by
  - i. submitting a Complaints and Appeals application form, or
  - ii. emailing the National General Manager outlining the details of the complaint

## 3. Complaints (formal) procedure

### Preliminary information

This procedure can be utilised to submit a complaint of an academic or non-academic nature. Complaints of an academic nature include matters related to Stakeholder progress, assessment, curriculum and awards in a VET course of study. Complaints of a non-academic nature cover all other matters including complaints in relation to personal information that Allara holds in relation to the Stakeholder.

### 3.1. Fair and equitable procedures

3.1.1. During all stages of this procedure Allara will take all necessary steps to ensure that:

- i. the complainant and/or appellant and the respondent will not be victimised or discriminated against, and
- ii. the complainant and/or appellant and the respondent will be informed of the allegations brought forth, and
- iii. the complainant and/or appellant and the respondent are given the opportunity to formally present their case, and

3.1.2. Each party to the complaint may be accompanied and assisted by a support person at any relevant meetings. If the Stakeholder is under 18 years old, a parent or guardian is requested to attend the interview/discussion

3.1.3. Where more than 60 calendar days are required to process and finalise the complaint or appeals process the complainant and/or appellant and respondent will be notified of this in writing

### 3.2. Complaint lodgement

3.2.1. Formal complaints must be submitted in writing to the National General Manager on a *Complaints and Appeals Form* available from an Allara staff member and upon receipt of a formal complaint or appeal, the National General Manager is to

- i. enter the received complaint into the *Complaints Register*
- ii. advise all parties of the allegations/complaint brought forth in writing

3.2.2. The complaints process will commence within five (5) business days of receipt of the written complaint

3.2.3. All reasonable measures will be taken to finalise the process as soon as practicable

## 3.3. Review process

3.3.1. The National General Manager or their nominee will seek to clarify the outcome that the complainant and/or appellant hopes to achieve. Such clarification may be sought by;

- i. Written letter/email, or
- ii. verbal request, or
- iii. face-to-face interview with the complainant and/or appellant

When such clarification occurs in a face-to-face interview the complainant and/or appellant or respondent may ask another person to accompany them as per item 3.1.2.

3.3.2. The National General Manager or their nominee will endeavour to resolve the complaint, and provide within ten (10) working days of receipt of the complaint application, a written report to the complainant and/or appellant advising the;

- i. outcome of the complaint, and
- ii. steps taken to address the complaint, and
- iii. reasons for the decision/outcome

3.3.4. The report will further advise the complainant and/or appellant of their right to access the internal appeals process if they are not satisfied with the outcome of their formal complaint.

## 3.4. Appeals process

3.4.1. If a complainant and/or appellant is dissatisfied with the outcome of their formal complaint they may lodge an appeal with the CEO (who is senior to the original decision maker)

3.4.2. The CEO will convene an independent review panel (who are not party to the original complaint) within ten (10) working days of receiving the written request for appeal

3.4.3. The review panel will review the dispute between Allara and the appellant; reporting to the CEO within ten (10) working days

3.4.4. The CEO will provide within thirty (30) working days of appeal application, a written report to the appellant advising the;

- i. outcome of the appeal, and
- ii. additional steps taken to address the grievance, and
- iii. reasons for the decision

3.4.5. The CEO will further advise the appellant of;

- i. their right to access the external appeals process if they are not satisfied with the outcome of their appeal, and
- ii. the timeframe for the external appeals process which may take more than 60 calendar days to complete

## 3.5. External appeals process

- 3.5.1. If the matter remains unresolved after the review panel presents its findings, the appellant may make a written request to the CEO that they wish the matter be dealt with through an independent external dispute resolution process
- 3.5.2. Within 10 working days of receipt of written application for external appeals, Allara in consultation with the appellant will appoint a mutually agreed independent mediator
- 3.5.3. The independent mediator will attempt to resolve the complaint between the appellant and/or respondent and Allara through the mediation process, where the appellant or the respondent may ask another person to accompany them to meetings with the mediator
- 3.5.4. Allara will bear any costs associated with the mediation
- 3.5.3. The independent mediator will report to the CEO the outcome of the mediation including any recommendations arising within 10 working days of the completion of the mediation
- 3.5.5. Within 10 working days of receipt of a report from the independent external mediator the CEO will provide a written report to the appellant advising the;
  - i. recommended actions to resolve the complaint, and
  - ii. timeframe for implementation of actions, and
  - iii. any follow up required by the appellant

## 3.6. Outcome, actions and implementation

- 3.6.1. For all grievances, complaints and/or appeals, regardless of the decision and/or outcome, Allara will;
  - i. implement any decision and corrective action required within 30 days of receipt of a written report, and
  - ii. notify all relevant Stakeholders of the decisions and recommendations, and
  - iii. document the grievance, complaint and/or appeal in the complaints register and where applicable in the continuous improvement register



## 4. Record keeping

### 4.1. Complaints register

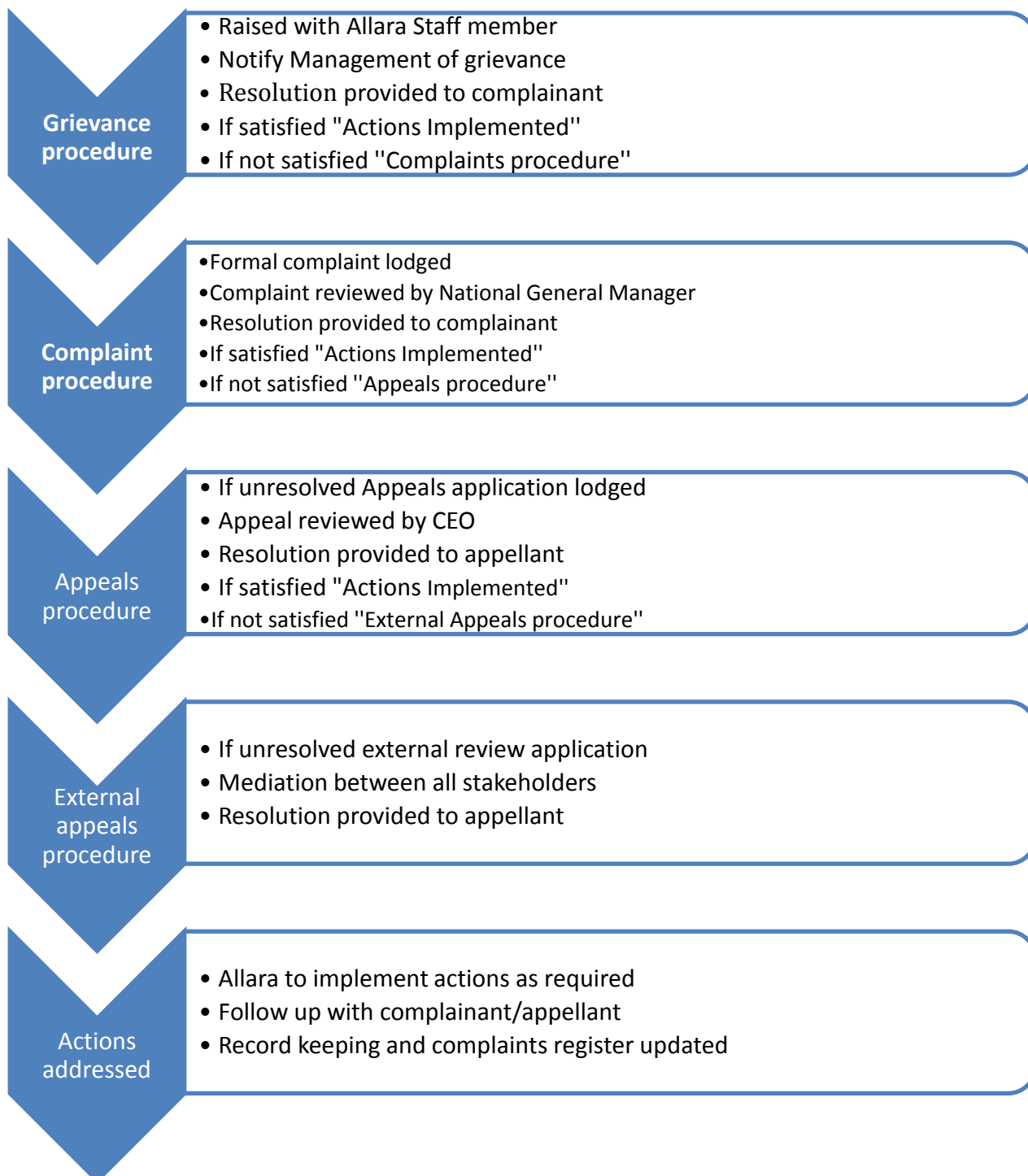
4.1.1. Electronic records of the grievance, complaints and/or appeals process will be maintained within the complaints register stored on G:Drive

### 4.2. Physical records

4.2.1. Hard copy records relating to the grievance, complaint and/or appeal will be stored in a secure location, including but not limited to;

- i. Complaints forms
- ii. Appeal forms
- iii. Supporting documents
- iv. Written reports from:
  - a. National General Manager, or
  - b. CEO, or
  - c. Independent mediator

## 5. Grievance, complaints and appeals process flow chart



## 6. Fees and charges

### 6.1. Internal process

6.1.1. The internal, grievance, complaints and/or appeals process is offered at no cost to the complainant and/or appellant

### 6.2. External process

6.2.1. Where the external appeals process is accessed Allara will bear any costs associated for independent mediation

6.2.2. Where the matter is not resolved through mediation and additional external legal services are required additional costs may apply to the appellant

## 7. Responsibilities

### 7.1. National General Manager

7.1.1. The National General Manager is the designated member of staff to;

- i. review complaints, and
- ii. convene meetings with Stakeholders, and
- iii. make a decision on complaints,
- iv. and document outcomes on the;
  - a. stakeholders file
  - b. complaints and appeals application forms
  - c. complaints register
- v. Provide written reports to the CEO

### 7.2. Chief Executive Officer (CEO)

7.2.1. If the complaint and/or appeal is;

- i. In relation to the National General Manager, or
  - ii. unable to be resolved by the National General Manager
- the CEO is required to undertake the complaint and/or appeal process

## 8. Related documents

- Complaints and Appeals Application Form
- Complaints and Appeals Register

<b>Refer to</b>	Standard 6	<b>Responsible Manager</b>	National General Manager
<b>Policy Issued</b>	06/01/2017	<b>Version Control</b>	Version 4 – 01/2017