***RESPONSIBILITY***

This policy is the responsibility of Halo Nation Training Pty Ltd (HaloNT) Registered Training Organisation (RTO) Provider Number 32485.

***SCOPE***

HaloNT has established this policy to support the Australian Skills Quality Authority (ASQA) Standards for NVR Registered Training Organisations (RTO). The policy has been developed and implemented by HaloNT to support and provide clear instruction and guidance to trainees in relation to

***Complaints and Appeals***

This policy is the responsibility of HaloNT.

***REVIEW AND MAINTENANCE***

Maintenance and review of this policy is the responsibility of HaloNT. HaloNT will maintain ongoing records of the elements and application of this policy.

***CHANGE RECORD***

Date: 27 July 2014

Version: 0.1

Author: Phil Statham

### Purpose and Intent

* 1. Halo Nation Training Pty Ltd (HaloNT) is open, honest and transparent in dealing with any concerns held by stakeholders. These concerns are received, reviewed and responded to in a timely manner with all outcomes treated with professional confidentiality and courtesy. Stakeholders concerns are viewed as opportunities for constructive improvement in operations.
  2. This Complaints and Appeals process is clearly identified on the HaloNT website. HaloNT has a Register of Complaints to record all stakeholder concerns and the results.
  3. All complaints will be handled according to the following principles:
* HaloNT has administrative responsibility for the Complaints and Appeals Policy and Procedure.
* All HaloNT Partners, trainees and stakeholders will have access to the Complaints and Appeals Policy and Procedure through the HaloNT website.
* All complaints and appeals will be handled professionally and confidentially in order to achieve a satisfactory resolution.
* All steps involved in the procedure will be clearly identified to all parties in the complaint.
* All complaints and appeals will be managed fairly and equitably and as efficiently as possible.
* HaloNT will resolve any complaints fairly and equitably and will initiate resolution procedures within five (5) working days of receipt of the complaint.
  1. The Complaints and Appeals Procedure provides an avenue for all complaints to be addressed.
  2. HaloNT will encourage all parties in a complaint to approach the complaint with a view to resolving the complaint through discussion and conciliation.
  3. Where a complaint cannot be resolved through discussion and conciliation, HaloNT acknowledges the possible need to provide an appropriate external and independent agent to mediate between the parties.
  4. All issues, where possible, should be addressed in the first instance to the HaloNT Partner. Should the HaloNT Partner be unable to provide an acceptable solution, the matter should be addressed to HaloNT.
  5. HaloNT Partners should be provided with the opportunity to address all complaints relating to their training issues, financial matters, health and safety issues or other issues, unless that complaint is about the HaloNT Partner directly.

1. **Procedure**
   1. The HaloNT complaint resolution process involves an Informal Process, a Formal Process and access to an Appeals Process.

### Informal Process

### If an informal (off the record) discussion with the HaloNT Partner cannot resolve the issue, a matter may be escalated to an Informal Complaint. This is an informal discussion between all parties involved in the complaint. A file minute will be kept to record the outcome of the discussion and this will be placed in the Register of Complaints.

* + - 1. If any party involved in the complaint remains dissatisfied, a formal complaint can be lodged with HaloNT who will initiate the formal complaint procedure.

### Formal Process

* + - 1. If the Informal Complaint mechanism cannot resolve the issue, a matter may be escalated to a Formal Complaint. The formal complaint may only proceed after an informal complaint has been lodged and addressed through the informal complaint resolution process.
      2. To ensure transparency, the following steps must be undertaken as part of the Formal Complaint process.
      3. To commence a Formal Complaint process, the complainant must:
      4. Document the nature and full details of the complaint.
      5. Upon receiving the documented complaint, HaloNT will assess the complaint and meet, or otherwise communicate with the complainant to discuss the matter.
      6. Any relevant parties may be called on to provide additional information regarding the complaint.
      7. HaloNT will then review the complaint and the associated evidence, and make a determination as to the outcome of the complaint.
      8. The outcome of the complaint will be communicated to all involved parties within 10 working days.
      9. All parties have the right to appeal the complaint decision within 10 working days.
      10. All parties are encouraged to have one other person as support throughout the complaints process. The individual parties can select any person to be that support person.

### Appeals Procedures

* + - 1. If a complaint cannot be resolved during the formal complaints proceedings an appeal may be lodged.
      2. All appeals are to be submitted in writing.
      3. HaloNT will appoint an approved officer, or any other designated person that HaloNT shall consider to be appropriate, who has had no previous dealing with the original complaint to be the authorized officer for the purpose of the Appeals process. This staff member will be designated as the case officer for the case.
      4. The complainant will have an opportunity to present their case to the case officer.
      5. The case officer will:
* examine all materials and claims made relating the original complaint;
* reassess the original complaint and outcome; and
* make a decision on the outcome within 20 working days.
  + - 1. The case officer may:
* meet with the complainant regarding the complaint; and
* request any and all additional materials relating to the specific complaint.
  + - 1. The complainant will receive written notification regarding the outcome of the appeal.
      2. All decisions will be documented and kept in the “Register of Complaints”.

### Appendix A: Complaint Form

**Details of Complainant**

|  |  |
| --- | --- |
| Name: | |
| Address: | |
| Suburb: | Post Code: |
| Contact Phone: | Email: |

**Details of Complaint** (Attach additional sheets if required)

|  |
| --- |
|  |

**Signature of Complainant**

|  |  |
| --- | --- |
| Signature |  |
| Date |  |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **OFFICE USE ONLY**  **Details of Investigation**   |  | | --- | | Investigating Officer Name: | | Contact Phone: | | Email: | | Date and Time of Interview: |   **Outcome of Investigation/Interview**   |  | | --- | |  |   **Signature of Investigating Officer**   |  |  | | --- | --- | | Signature |  | | Date |  |   **Complainant Declaration**  I acknowledge that I have been advised of the outcome of my complaint. I further declare that I  🞎 do not wish to pursue this matter further;  🞎 wish to pursue this matter further.  **Signature of Complainant**   |  |  | | --- | --- | | Signature |  | | Date |  | |

### Appendix B: Appeals Form

**Details of Complainant**

|  |  |
| --- | --- |
| Name: | |
| Address: | |
| Suburb: | Post Code: |
| Contact Phone: | Email: |

**Why are you dissatisfied with the decision?**

|  |
| --- |
|  |

**What actions do you recommend to resolve this matter to your satisfaction?** (Attach additional sheets if required)

|  |
| --- |
|  |

**Signature of Complainant**

|  |  |
| --- | --- |
| Signature |  |
| Date |  |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **OFFICE USE ONLY**  **Details of Investigation**   |  | | --- | | Investigating Officer Name: | | Contact Phone: | | Email: | | Date and Time of Interview: |   **Outcome of Appeal Review**   |  | | --- | |  |   **Signature of Investigating Officer**   |  |  | | --- | --- | | Signature |  | | Date |  |   **Complainant Declaration**  I acknowledge that I have been advised of the outcome of my Appeal. I further declare that I  🞎 do not wish to pursue this matter further;  🞎 wish to pursue this matter further.  **Signature of Complainant**   |  |  | | --- | --- | | Signature |  | | Date |  | |