

Complaints and Appeals
Policy, Procedures, Forms and Registers

POLICY

Purpose

Appeals policy

ATAR Design is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (RTOs) 2015. As such ATAR Design, is required to have a policy and processes in place to manage requests for a review of assessment decisions, including those made by third party training and assessment providers who provide services on behalf of ATAR Design.

This policy is based on providing and maintaining training and assessment services that are fair and reasonable and afford a forum where issues or inadequacies regarding assessment can be raised and resolved. The Appeals policy provides opportunity for appeals to be recorded, acknowledged and dealt with in a timely manner.

The object of this policy is to ensure that staff and third party partners, act in a professional manner at all times. This policy provides clients with a clear process to register an appeal. It ensures all parties involved are kept informed of the resulting actions and outcomes.

Complaint policy

ATAR Design is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (2015). As such, ATAR Design is required to have a policy and processes in place to manage and respond to allegations involving the conduct of staff, learners and third party training and assessment providers who provide services on behalf of ATAR Design .

This policy is based on providing and maintaining training and assessment services that are fair and reasonable and afford a forum where issues or inadequacies can be raised and resolved. This process provides opportunity for complaints to be recorded, acknowledged and dealt with in a fair, efficient and effective manner.

The object of this policy is to ensure that staff act in a professional manner at all times. This policy provides clients with a clear process to register a complaint. It ensures all parties involved are kept informed of the resulting actions and outcomes.

Standard reference

Appeals – 2.1, 2.2, 2.4, 6.2, 6.3, 6.4, 6.5, 6.6

Complaints – 2.1, 2.2, 2.4, 6.1, 6.3, 6.4, 6.5, 6.6

POLICY

Who is responsible	<p>Appeals</p> <p>The CEO of ATAR Design is the Appeals Resolution Officer. The CEO may delegate responsibility for the resolution of the appeal if necessary.</p> <p>Details concerning the scope of the Appeals Policy are to be clearly displayed throughout the organisation and contained within the Staff Handbook, Client Handbook and website.</p> <p>Complaints</p> <p>The CEO of ATAR Design is the Complaints Resolution Officer. The CEO may delegate responsibility for the resolution of the complaint if necessary.</p> <p>Details concerning the scope of the Complaints Policy are to be clearly displayed throughout the organisation and contained within the Staff Handbook, Student Handbook and website.</p>
Review date	<p>Every 12 months</p>
Definitions	<p>The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.</p> <p>Assessment means the process of collecting evidence and making judgements on whether competency has been achieved, to confirm that an individual can perform to the standard required in the workplace, as specified in a training package or VET accredited course.</p> <p>Third party means any party that provides services on behalf of the RTO but does not include a contract of employment between an RTO and its employee.</p>

POLICY

Policy

Appeals

- ATAR Design acknowledges that clients have the right to appeal an assessment decision, based on valid grounds for appeal.
- ATAR Design has provision for clients to appeal against assessment decisions, including those made by a third party partner.
- ATAR Design ensures that clients have access to a fair and equitable process for lodging an appeal against an assessment decision.

In doing so:

- ATAR Design has written processes in place for collecting and dealing with appeals in a constructive and timely manner;
- ATAR Design ensures that these procedures are communicated to all staff, third party partners and clients;
- ATAR Design ensures that each appeal and its outcome are recorded in writing;
- ATAR Design ensures that each appeal is heard by an independent person or panel;
- ATAR Design ensures that each appellant has the opportunity to formally present his or her case;
- ATAR Design ensures that each appellant is given a written statement of the appeal outcomes, including reasons for the decision;
- ATAR Design takes appropriate action upon the subject of any appeal that is found to be substantiated; and
- ATAR Design utilises outcomes of appeals to review current practices which may potentially lead to continuous improvement.

Complaints

ATAR Design acknowledges the clients' right to lodge a complaint when they are dissatisfied with the training and /or assessment services and experiences that they have been provided by.

ATAR Design will ensure that clients have access to a fair and equitable process for expressing complaints, and that ATAR Design will manage the complaint with fairness and equity.

In doing so ATAR Design:

- Has written procedures in place for collecting and managing complaints in a constructive and timely manner;
- Ensures that these procedures are communicated to all staff, third party partners and clients;
- Ensures that all necessary documentation and resources are in place to enable clients to submit a complaint;
- Ensures that each complaint and its outcome is recorded in writing; and
- Ensures that customer complaints and their outcomes are fed into continuous improvement initiatives.

POLICY

Policy principles

Appeals Underpinning Principles

- Clients have the right to lodge an appeal against an assessment decision if they feel they were unfairly treated during an assessment, and/or where they feel the assessment decision is incorrect and they have grounds for an appeal.
- The principles of natural justice and procedural fairness are adopted at every stage of the appeal process.
- The appeals policy is publicly available, via ATAR Design website.
- The appellant can provide detail of their appeal either verbally and/or in writing.
- All appeals must be lodged within 7 calendar days of the date of the assessment result notification to the client.
- If the appeals process fails to resolve the appeal or the appellant is not satisfied with the outcome of the appeal, the matter will be referred to an independent third party for review, at the request of the appellant. All costs incurred for the third party review will be advised to the appellant.
- Every appeal is heard by a suitably qualified independent assessor or panel, who will be asked to make an independent assessment of the application.
- All appeals are acknowledged in writing and finalised as soon as practicable.
- ATAR Design may charge a fee for the appeals process where an external assessor is engaged. Should this be the case, all costs incurred will be advised to the appellant.
- If the appeal will take in excess of 60 calendar days to finalise ATAR Design will inform the appellant in writing providing the reasons why more than 60 calendar days are required. The appellant will also be provided with regular updates on the progress of the appeal.
- ATAR Design strives to deal with appeal issues as soon as they emerge, in order to avoid further disruption or the need for a formal complaint process.
- All appeals will be handled 'In-Confidence' and will not affect or bias the progress of the participant in any current or future training

Grounds for Appeal

Valid grounds for an appeal against an assessment decision (where the client feels the assessment decision is incorrect) could include the following:

- The judgement as to whether competency has been achieved and demonstrated was made incorrectly;
- The judgement was not made in accordance with the Assessment Plan;
- Alleged bias of the assessor;
- Alleged lack of competence of the assessor;
- Alleged wrong information from the assessor regarding the assessment process;
- Alleged inappropriate assessment process for the particular competency;
- Faulty or inappropriate equipment; and/or
- Inappropriate conditions.

POLICY

Appeals Process – refer to Annex A flow chart

All appeals shall follow the below process:

- Appeal to be made in writing within 7 calendar days of notification of the assessment decision using the Appeals form.
- A submitted Appeals form will constitute a formal appeal from the appellant. Further detail may be provided by the appellant verbally.
- The CEO shall be informed of receipt of any appeal.
- The CEO may delegate responsibility for the resolution of the appeal, as appropriate.
- Appeals will be processed in accordance with the Appeals flowchart – Annex A.
- Appeals, where possible, are to be resolved within 28 days of the initial application.
- In all cases the final conclusion will be endorsed by the CEO.
- The appellant will be advised in writing of the outcome of their appeal, within seven (7) days of the resolution.
- If the outcome is not to the satisfaction of the appellant, they may seek an appointment with the CEO.
- If the appellant is not satisfied with the decision they have the option to seek outside assistance to pursue the appeal.

Appeal Outcomes

An investigation into an Appeal may result in one of the following outcomes:

- Appeal is upheld; in this event the following options will be available:
 - The original assessment will be re-assessed, potentially by another assessor.
 - Appropriate recognition will be granted.
 - A new assessment shall be conducted/arranged.
- Appeal is rejected/ not upheld; in accordance with ATAR Design assessment policy the client will be required to:
 - undertake further training or experience prior to further assessment; or
 - re-submit further evidence; or
 - Submit/undertake a new assessment.

POLICY

Complaints Underpinning Principles

In managing complaints, ATAR Design will ensure that:

- The principles of natural justice and procedural fairness are adopted at every stage of the complaint process.
- The complaints policy is publicly available.
- There is a procedure for making a complaint.
- Complaints are treated seriously and dealt with promptly, impartially, sensitively and confidentially.
- Complaints will be resolved on an individual case basis, as they arise.
- All clients have the right to express a concern or problem and/or lodge a complaint if they are dissatisfied with the training and assessment services that they have been provided (including through a third party) or the behavioural conduct of another learner.
- All complaints are acknowledged in writing and finalised as soon as practicable.
- The complaint resolution procedure is based on the understanding that no action will be taken without consulting the complainant and respondent, using a process of discussion, cooperation and conciliation.
- The rights of the complainant and respondent will be acknowledged and protected throughout the complaint resolution process, including the conduct of separate interviews initially.
- In the interest of confidentiality, the number of people involved in the resolution process will be kept to a minimum.
- Final decisions will be made by the CEO or an independent party to the complainant
- The complaint resolution procedure emphasizes mediation and education while acknowledging that in some instances formal procedures and disciplinary action may be required.
- If the complaints process fails to resolve the complaint or the complainant is not satisfied with the outcome of the complaint the matter will be referred to an independent third party for review, at the request of the complainant. All costs incurred for the third party review will be advised to the complainant.
- If the complaint will take in excess of 60 calendar days to finalise ATAR Design will inform the complainant in writing providing the reasons why more than 60 calendar days are required. The complainant will also be provided with regular updates on the progress of the complaint.
- Victimisation of complainants, respondents or anyone one else involved in the complaint resolution process will not be tolerated.
- All complaints will be handled as Staff-In-Confidence and will not affect or bias the progress of the client in any current of future training.

Types of Complaints

A complaint may include allegations involving the conduct of ATAR Design:

- Its trainers, assessors or other staff; or
- A third party providing services on behalf of ATAR Design, its trainers, assessors or other staff; or
- A learner of ATAR Design .

POLICY

Process for Complaints and Appeals

Complaints

- If a client has a complaint, they are encouraged to speak immediately with the trainer/assessor to resolve the issue. If the complainant is not satisfied that the issue has been resolved they will be asked to complete a Complaints Form, to lodge a formal complaint. ATAR Design will then investigate the complaint and advise the complainant of the outcome.
- If the complainant is not satisfied with the outcome they may write to the CEO, setting out in detail the issue of concern. This may lead to occasions where an industry-training representative may be invited to act as an objective party in order to negotiate a satisfactory resolution.

Complaints Process – Refer to Annex B flow chart

All complaints shall follow the below process:

- Complaints are to be made in writing within 7 calendar days of the incident using the Complaints Form.
- A submitted complaint form will constitute a formal complaint from the client. Further detail of the complaint can be provided by the client verbally.
- The CEO must be informed of receipt of all complaints immediately.
- The CEO may delegate responsibility for the resolution of the complaint.
- In the case of a complaint, the CEO will initiate a transparent, participative investigation to identify the issues.
- Complaints will be processed in accordance with the Complaints flowchart - Annex A.
- Complaints, where possible, are to be resolved within 14 calendar days of the initial application.
- In all cases the final conclusion will be assessed by the CEO.
- The Client will be advised in writing of the outcome of their complaint, within seven (7) days of resolution.
- If the outcome is not to the satisfaction of the Client, they may seek an appointment with the CEO.
- If the client is not satisfied with the decision they have the option to seek outside assistance to pursue the complaint.

POLICY

Records management

For Appeals

Access and Equity

The Access and Equity Policy applies. (See Access and Equity Policy)

For Complaints

Access and Equity

The Access and Equity Policy applies. (See Access and Equity Policy)

- Records Management
- Records of all complaints and their outcomes are maintained securely.
- Records of complaints include:
 - How the complaint was dealt with;
 - The outcome of the complaint;
 - The timeframes for resolution of the complaint;
 - The potential causes of the complaint; and
 - The steps taken to resolve the complaint.
- All documentation from the complaints processes are maintained in accordance with Records Management Policy. (See Records Management Policy)

For Appeals

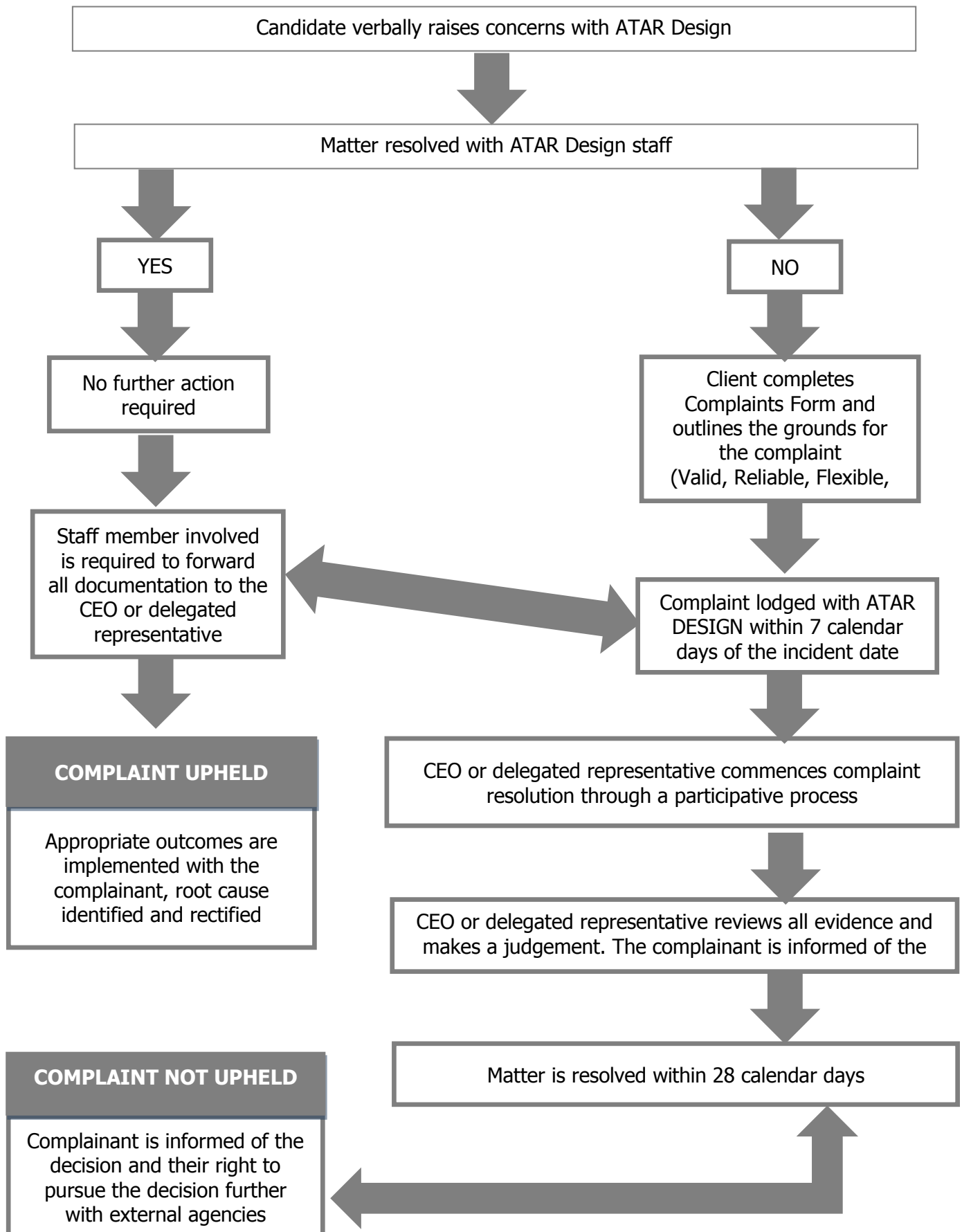
Records Management

- Records of all appeals and their outcomes are maintained securely.
- Records of appeals will include:
 - How the appeal was dealt with;
 - The outcome of the appeal;
 - The timeframes for resolution of the appeal;
 - The potential causes of the appeal; and
 - The steps taken to resolve the appeal.
- All documentation from the appeals processes are maintained in accordance with Records Management Policy. (See Records Management Policy)

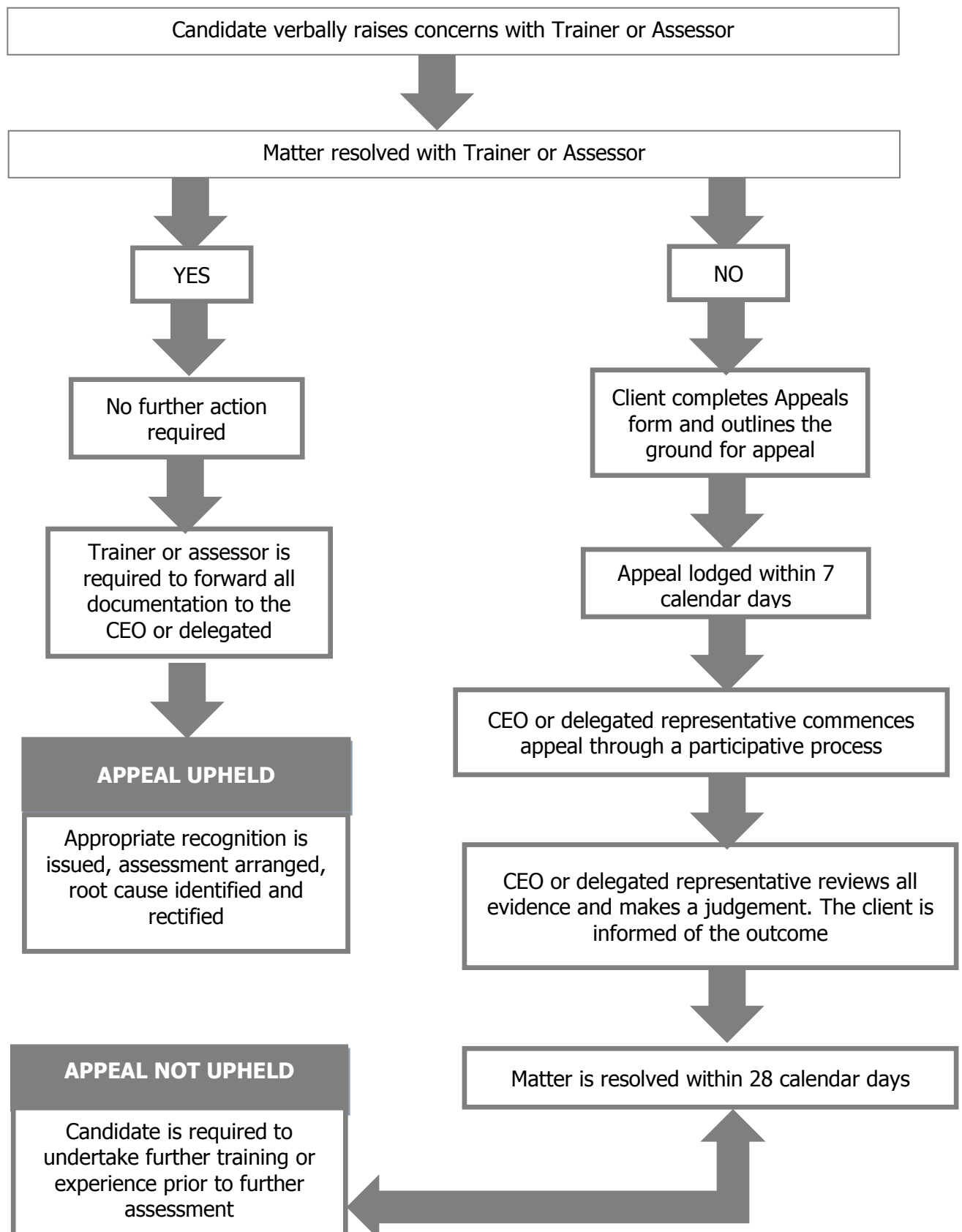
Monitoring and Improvement

All appeals practices are monitored by the CEO and will be discussed at Management Review Meetings with areas for improvement identified and acted upon. (See Continuous Improvement Policy)

Annex A: Complaints Process



Annex B: Appeals Process



APPEALS PROCEDURE

Step	Who	Procedure
1 Initial Review of Appeal	Client	If the client is unhappy with the assessment decision they should first seek to discuss the decision and options with the Assessor, to determine and fully understand the reasons for the decision.
	Assessor	With a view to resolving the matter, discuss with the client: give specific feedback on their performance, identify areas of improvement, and provide options to the client such as further training and/or assessment.
	Assessor	<ul style="list-style-type: none"> If the matter is successfully resolved, complete the 'Appeals Lodgement Form' and submit to Admin for processing. If the matter is not resolved, advise client of their right to appeal the decision referring them to the Appeals policy and provide client with access to the Appeals Lodgement Form.
	Admin	<ul style="list-style-type: none"> Enter details of Appeal into Student Management system (SMS) Enter details of Appeal into Appeals Register. Note actions on 'Appeals Lodgement Form'. File 'Appeals Lodgement Form' (if appeal resolved) onto Client file.
2 Lodgement of Appeal	Client	<ul style="list-style-type: none"> Lodges an appeal in writing using the 'Appeals Lodgement form'. Submits within seven (7) days of the date of assessment result notification. The Appeals lodgement form must clearly state the grounds for appeal and should include sufficient evidence to support the claim.
	Admin	<ul style="list-style-type: none"> Enter details of Appeal into Student Management system (SMS) Enter details of Appeal into Appeals Register. Note actions on 'Appeals Lodgement Form'. Print and commence 'Appeals Progress Form'. Provide all documentation to CEO for action.
	CEO	<ul style="list-style-type: none"> On receipt of the appeals application, acknowledges receipt of the claim, in writing, to the appellant within two working days, this may be via email, letter or fax. Keep all documentation in the Appeals file, which will remain in place until the appeal is resolved. After which time all appeal documentation will be placed on the Client file.

APPEALS PROCEDURE

3 Processing the Appeal	CEO	<ul style="list-style-type: none"> Nominates, within five working days, an independent assessor or panel to review the appeal and make a determination. Advise the appellant in writing of the name of the independent Assessor or panel.
	CEO / Independent Assessor	<ul style="list-style-type: none"> Appeals claim is reviewed and investigated which includes: A review of the application form and supporting evidence. A review of all assessment documentation and process. An interview with the appellant to allow them the opportunity to formally state their claim. An interview with the Assessor.
	CEO	<ul style="list-style-type: none"> Determine the appeal outcome, and provide an explanation to justify their decision. The independent assessor /panel will advise the CEO of the appeals outcome, in writing, within 5 working days. Note actions on 'Appeals Progress Form'. If the outcome involves re-assessment, go to Step 4.
4 Conduct Re-Assessment	CEO	<ul style="list-style-type: none"> Arrange for the appellant to be re-assessed and inform the appellant of the details regarding the re-assessment, in writing, in accordance with assessment processes. Place a copy of the re-assessment correspondence on the Client file. If the appellant is dissatisfied with the result or the process of the appeal, the appellant may lodge a complaint with External Arbitrator. If appellant refuses to be reassessed, the progress of the appeal to the External Arbitrator is at the discretion of the Appellant.
	Independent Assessor	<ul style="list-style-type: none"> The appellant has the option to nominate an independent observer to be present during the re-assessment. Conduct the re-assessment. Determine the assessment outcome against the competencies. Complete all relevant assessment documentation, (in accordance with the Assessment policy) notifying the appellant and the CEO of the outcome, in writing

APPEALS PROCEDURE

5 Finalising the Appeal	CEO	<ul style="list-style-type: none"> Supply the appellant with the appeals outcome in writing within 2 working days
	CEO	<ul style="list-style-type: none"> If the appeal is upheld, and if ATAR Design is satisfied with the outcome: <ul style="list-style-type: none"> Finalise the appeals documentation, place all documentation in the client's appeals file. Complete documentation for the issuance of a Statement of Attainment or qualifications (as appropriate). The appeals file is closed, and provided to Admin. If the appeal is upheld and if ATAR Design is NOT satisfied with the outcome, progress with Appeal with the External Arbitrator. Note actions on 'Appeals Progress Form'.
	CEO	<ul style="list-style-type: none"> If the Appeal is rejected notify the appellant in writing that the original decision/judgement is to stand. Client continues to progress through the usual Assessment process. Note actions on 'Appeals Progress Form'.
	CEO	<ul style="list-style-type: none"> If client is dissatisfied with outcome, advise the client of their right to further progress the appeal through the External Arbitrator. (See to Step 6) Note actions on 'Appeals Progress Form'.
	Admin	<ul style="list-style-type: none"> Enter details of Appeal outcome into Student Management system (SMS) Enter details of Appeal outcome into Appeals Register. Note actions on and complete the 'Appeals Progress Form'. The client is provided a refund of the appeals fee if appeal is upheld. Follow refunds policy and procedures. Place all documentation from Appeals file onto Client file.
	CEO	Ensure that the assessment tools, policy and procedures relating to any substantiated Appeal is reviewed and progressed through continuous improvement processes, as appropriate

APPEALS PROCEDURE

6 Referral to External Arbitrator	CEO or Client	<ul style="list-style-type: none"> Contact and engage the External Arbitrator for a review of the Appeal, providing all relevant documentation. Cooperate with External Arbitrator for a review of the Appeal
	External Arbitrator	<ul style="list-style-type: none"> Review, investigate and mediate the complaint with all relevant parties and make a ruling. ATAR Design will abide by any resolutions as recommended by the External Arbitrator.
	CEO	If the Appeal is Upheld, go to Step 5.2
	CEO	<ul style="list-style-type: none"> If the Appeal is rejected notify the appellant in writing that the original decision/judgement is to stand. Client continues to progress through the usual Assessment process. Go to Step 5.3.

COMPLAINTS PROCEDURE

Step	Who	Procedure
1 Initial Review of Complaint	Client	Raises the concern with ATAR Design staff.
	Staff	Attempt to resolve the complaint immediately.
	Staff	<ul style="list-style-type: none"> • If the matter is successfully resolved, complete the 'Complaints Lodgement Form' and submit to Admin for processing. • If the matter is not resolved, advise client of their right to make a formal complaint referring them to the Complaints policy. • Provide client with access to the 'Complaints Lodgement Form'.
	Admin	<ul style="list-style-type: none"> • Enter details of Complaint into Student Management system (SMS) • Enter details of Complaint into Complaints Register. • Note actions on 'Complaints Lodgement Form'. • Notify CEO of the resolved Complaint. • File 'Complaints Lodgement Form' (if appeal resolved) onto Client file.
2 Lodgement of Complaint	Client	<ul style="list-style-type: none"> • Lodges a complaint in writing using the 'Complaints Lodgement form'. • Submits within seven (7) days of the date of the issue.
	Admin	<ul style="list-style-type: none"> • Enter details of complaint into Student Management system (SMS) • Enter details of complaint into Complaints Register. • Note actions on 'Complaints Lodgement Form'. • Print and commence 'Complaints Progress Form'. • Provide all documentation to CEO for action.
	CEO	<ul style="list-style-type: none"> • On receipt of the complaint documentation, acknowledge receipt of the claim, in writing, to the complainant within two (2) working days, this may be via email, letter or fax. • Keep all documentation in a Complaints file, which will remain in place until the complaint is resolved. After which time all complaints documentation will be placed on the Client file.

COMPLAINTS PROCEDURE

3 Processing the Complaint	CEO	<ul style="list-style-type: none"> Implement appropriate resolution techniques to resolve the issue promptly to the mutual satisfaction of all parties. Inform any respondent(s) (if applicable) by letter, that a complaint has been received. This letter will be forwarded within 2 (two) working days of receipt of the original formal complaint.
	CEO	<ul style="list-style-type: none"> Review, investigate and mediate to resolve the complaint within seven (7) days. Actions which may be taken include, but are not limited to: <ul style="list-style-type: none"> Discussing the facts of the complaint with the complainant. Where appropriate and applicable, discuss the complaint with the respondent giving details of the complaint and complainant, giving cause to procedural fairness. Where appropriate and applicable, encourage and facilitate the disputants to engage in mediation on an informal level. Interview all parties individually, including any witnesses. Conduct interviews privately and confidentially Where applicable, report the outcome of the meeting with the respondent to the complainant. Seek preferred outcome from each of the parties.
	CEO	<ul style="list-style-type: none"> Determine a resolution to resolve the complaint, within ATAR Design Advise all parties of the outcome of the complaint in writing, within five (5) working days.
	CEO	<ul style="list-style-type: none"> Confirm all parties are satisfied with the outcome of the complaint. If client is dissatisfied with outcome, advise the client of their right to further progress the appeal through the External Arbitrator. (See to Step 5) Note actions on 'Complaints Progress Form'.
4 Finalising the Complaint	CEO	<ul style="list-style-type: none"> Complete all necessary documentation including the 'Complaints Progress form', noting actions and outcomes of the complaints resolution process. Place all documentation in the client's complaints file and provide to admin for completion. Implement agreed actions and /or administrative arrangements. Monitor the learning environment to ensure that the behaviour/incident does not re-occur.
	Admin	<ul style="list-style-type: none"> Enter details of complaint outcome into Student Management system (SMS) Enter details of complaint outcome into Complaints Register. Note actions on and complete the 'Complaints Progress Form'. Place all documentation from complaint file onto Client file.
	CEO	<ul style="list-style-type: none"> Ensure that the issue, policy and procedures relating to any substantiated complaint is reviewed and progressed through continuous improvement processes, as appropriate

COMPLAINTS PROCEDURE

5 Referral to External Arbitrator	CEO or Client	<ul style="list-style-type: none"> Contact and engage the External Arbitrator for a review of the complaint, providing all relevant documentation. Cooperate with External Arbitrator for a review of the complaint.
	External Arbitrator	<ul style="list-style-type: none"> Review, investigate and mediate the complaint with all relevant parties and make a ruling. Prepare a formal written report on the investigation, providing a copy to both CEO and complainant. ATAR Design will abide by any resolutions as recommended by the External Arbitrator.
	CEO	If the complaint is Upheld, go to Step 4.1.
	CEO	<ul style="list-style-type: none"> If the complaint is rejected notify the complainant in writing that the original decision is to stand. Go to Step 4.1.

APPEALS LODGEMENT FORM

Appeals no:

Section 1 – Personal details

Name		Title	<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/> Miss
Address		Postcode	
Email		Tel/ Mobile	

Section 2 – Course / Unit/ Module details

Code/Title		Date	
Assessor		Task	

Section 3 – Appellant Declaration

I have read and understood the ATAR Design Appeals Policy and acknowledge that ATAR Design will use an independent assessor to resolve this appeal, and that I will be given the opportunity to present my case formally at an interview. Should the appeal progress to an external arbitrator, I agree to pay the arbitrator fee for this appeal; however, should my appeal be successful I will receive a full refund of this fee.

Signature		Date	
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Section 4 – Appeal Details

Please tick the area relating to your grounds for appeal:

<input type="checkbox"/> Incorrect assessment decision	<input type="checkbox"/> Inappropriate assessment task/process
<input type="checkbox"/> Bias of the assessor	<input type="checkbox"/> Faulty, inappropriate or lack of equipment
<input type="checkbox"/> Lack of competence of assessor	<input type="checkbox"/> Inappropriate assessment conditions
<input type="checkbox"/> Incorrect information provided regarding assessment	

Please outline the situation for your appeal:

Appeal discussed with the Assessor	<input type="checkbox"/> YES	<input type="checkbox"/> NO
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Appeal has been successfully resolved	<input type="checkbox"/> YES	<input type="checkbox"/> NO
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Admin Use Only

Appeal Form Received (Admin)	Initial	Date	Appeal Lodgement recorded (Register)	Initial	Date
Appeal Forwarded to CEO	Initial	Date	Acknowledgement letter sent	Initial	Date

Note: Use 'Appeals Progress Form' to record further actions regarding this Appeal

APPEALS PROGRESS FORM APPEALS ARE TO BE RESOLVED WITHIN 28 DAYS

Appeals no

Section 1 – Appellant Details

Name **Title** ☐ Mr ☐ Mrs ☐ Ms ☐ Miss

Email **Tel/ Mobile**

Section 2 – Actions – CEO

CEO ATAR Design – Review and Determination

Reviewed by **Date**

Notes

CEO Determination

☐ Appeal Upheld (Progress to Certification) ☐ Appeal Rejected (Resume Assessment processes)

☐ Appellant Notified in writing Initial Date

☐ Appellant Satisfied with Outcome Initial Date

☐ Appellant advised of External Arbitration Initial Date

Signature **Date**

Section 3 – Actions: Independent Assessor

Independent Assessor Review and Determination

Assessor Name **Date**

Assessor Notes

Appellant Interviewed ☐ YES ☐ NO **Initial** **Date**

Independent Assessor Determination ☐ Appeal Upheld (Progress to Certification)
☐ Appeal Rejected (Resume Assessment processes)

APPEALS PROGRESS FORM APPEALS ARE TO BE RESOLVED WITHIN 28 DAYS

Appellant advised of External Arbitration	Initial		Date	
Appellant Notified in writing	Initial		Date	
Appellant Satisfied with Outcome	Initial		Date	
Signature		Date		
Section 4 – Actions: Re-Assessment				
Assessor name		Date		
Re-Assessment process				
Determination from Re-Assessment	<input type="checkbox"/> Satisfactory		<input type="checkbox"/> Not Yet Satisfactory	
Section 5 – Actions: Referred to Independent Arbitrator				
Independent Arbitrator Review and Determination				
Arbitrator Name		Date		
Arbitrator Notes				
Independent Arbitrator Determination	<input type="checkbox"/> Appeal Upheld (Progress to Certification)		<input type="checkbox"/> Appeal Rejected	
Further Actions (as a result of External Arbitrator Determination)				
CEO Signature		Date		

APPEALS PROGRESS FORM APPEALS ARE TO BE RESOLVED WITHIN 28 DAYS

Section 6 – Appeal Finalised

Appellant Notified in writing	Initial		Date	
Appeal Outcome recorded in Register	Initial		Date	
Appeal Outcome recorded in SMS	Initial		Date	
Appellant Paid fee of \$	Initial		Date	
Appellant refunded fee (if appeal upheld)	Initial		Date	
Appeal Closed	Initial		Date	
CEO Signature			Date	

COMPLAINTS LODGEMENT FORM

Complaints no

Section 1 – Personal details

Name		Title	<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/> Miss
Address		Post Code	
Email		Tel/ Mobile	

Section 2 – Course / Unit/ Module details

Code/Title		Date	
Assessor		Task	

Section 3 – Complainants Declaration

I have read and understood the ATAR Design Complaints Policy and I declare that the other party to the complaint may be contacted in an attempt to resolve the issue. I agree that ATAR Design may conduct independent evaluation checks and that I may be requested to submit further information upon request or attend a meeting to discuss this matter further.

Signature		Date	
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Section 4 – Complaint Details

Please tick the area relating to your grounds for appeal:

<input type="checkbox"/> Training Materials	<input type="checkbox"/> Assessment Materials	<input type="checkbox"/> Services provided
<input type="checkbox"/> Training Facilities	<input type="checkbox"/> Assessment Facilities	<input type="checkbox"/> Personal conflict/Behaviour
<input type="checkbox"/> Training Content, information	<input type="checkbox"/> Assessment Environment	<input type="checkbox"/> Discrimination
<input type="checkbox"/> Training Environment	<input type="checkbox"/> Assessment Location	<input type="checkbox"/> Victimisation
<input type="checkbox"/> Training – Other	<input type="checkbox"/> Assessment - Other	<input type="checkbox"/> Privacy Breach
<input type="checkbox"/> Other		

Does your complaint involve another person (e.g. Trainer / Assessor / other student)? ☐ YES ☐ NO

If yes, please provide their name:

Does your complaint involve witnesses? ☐ YES ☐ NO

If yes, please provide the name/s and contact details of witnesses who are willing to support your claim below:

Name	Address	Tel/Mobile
Name	Address	Tel/Mobile
Name	Address	Tel/Mobile

COMPLAINTS LODGEMENT FORM

Please outline the nature/circumstances of your complaint

What actions have you taken, in an attempt to resolve this matter

What action/resolution would you like to see occur/implemented

ADMIN Use only

<input type="checkbox"/>	Complaint Form Received (Admin)	Initial		Date:	
<input type="checkbox"/>	Complaint Lodgement recorded (Register)	Initial		Date:	
<input type="checkbox"/>	Letter of Acknowledgement sent	Initial		Date:	
<input type="checkbox"/>	Complaint Forwarded to CEO	Initial		Date:	

Note: Use 'Complaints Progress Form' to record further actions regarding this Complaint.

COMPLAINTS PROGRESS FORM

Complaints no

Section 1 – Complainant Details

Name		Title	<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/> Miss
Email		Tel/ Mobile	

Section 2 – Actions - CEO

CEO ATAR Design – Review and Determination

Reviewed by		Date	
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Notes

CEO Determination

<input type="checkbox"/>	Complainant Notified in writing	Initial		Date:	
<input type="checkbox"/>	Complainant Satisfied with Outcome	Initial		Date:	
<input type="checkbox"/>	Complainant advised of External Arbitration	Initial		Date:	

Actions agreed to resolve complaint – implemented

<input type="checkbox"/>		Initial		Date:	
<input type="checkbox"/>		Initial		Date:	
<input type="checkbox"/>		Initial		Date:	
<input type="checkbox"/>		Initial		Date:	
<input type="checkbox"/>		Initial		Date:	
<input type="checkbox"/>		Initial		Date:	

**CEO
Signature**

Date

COMPLAINTS PROGRESS FORM

Section 3 – Actions: Referred to Independent Arbitrator

Independent Assessor Review and Determination

Arbitrator Name		Date	
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Arbitrator Notes

Independent Arbitrator Determination

Further Actions (as a result of External Arbitrator Determination)

CEO Signature		Date	
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Section 4 –Complaint Finalised

All parties notified in writing	Initial		Date	
Complaint outcome recorded in Register	Initial		Date	
Complaint outcome recorded in SMS	Initial		Date	
Complaint closed	Initial		Date	

CEO Signature		Date	
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APPEALS REGISTER

Appeal no	Date received	Investigated By	Client Details			Re-Assessment Date	Date Resolved	Outcome
			Client Name	Phone	Email			
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								
11								
12								
13								
14								

COMPLAINTS REGISTER

Appeal no	Date received	Investigated By	Client Details			Complaints detail	Date Resolved	Outcome
			Client Name	Phone	Email			
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								
11								
12								
13								