

Complaints & Disputes Policy & Procedures

Overview

ASIAL and its members are committed to transparency and accountability in providing quality services to the Australian community. The Association therefore welcomes feedback so that its members may improve the quality of their performance.

All ASIAL members are expected to follow its policies and procedures in relation to complaints management. These policies and procedures are based on the Australian Standard 4269 and promote efficient, fair and accessible mechanisms for resolving customer complaints.

ASIAL has also established a dispute resolution process. The service can be activated when a complaint by a customer of an ASIAL member remains unresolved and when both parties accept the activation of the service. Use of the service does not prevent the customer from pursuing other avenues for resolving the matter if they remain unsatisfied.

Quick View – Complaint Process

| | Situation | Action |
|----|--|---|
| 1. | Do you have a complaint against an ASIAL member? | Formally write directly to the ASIAL member with your complaint. A letter template is available on the ASIAL web site to assist you with this process. http://www.asial.com.au/ASIALcomplaintsanddisputeresolution |
| 2. | Are you unable to resolve the complaint and would like to use the ASIAL complaint process? | Submit your complaint to ASIAL in writing. For convenience use the on-line ASIAL form. http://www.asial.com.au/Disputeresolutionrequestform |
| 3. | ASIAL investigates the complaint: | ASIAL appoints an investigation officer. All parties are communicated with and the information is reviewed. The investigating officer attempts to mediate an outcome. |
| 4 | Outcome. | The result of the ASIAL investigation will be communicated to all parties. Whatever the outcome, the result of the ASIAL investigation does not remove the right of any individual to pursue the matter through other processes. |

Policy

ASIAL members are committed to providing quality services and security products which meet the needs of their clients. If a customer complaint is unresolved, ASIAL's dispute resolution service may be called upon by the parties to quickly mediate or resolve disputes and propose remedies to re-establish members to the quality standards which ASIAL membership requires.

The resolution process aims to:

- action the complaint in a prompt and efficient manner;
- identify the facts;
- avoid laying blame; and
- be fair to all parties.

Scope

This policy applies to all Members including Associate and Individual members. This policy will take into account all legislative requirements including State & Territory Security Legislation, Equal Opportunity legislation and obligations under Occupational Health and Safety Regulations and the Fair Work Act.

The policy deals with complaints including, but not limited to, customer dissatisfaction, public concern, and members' complaints against each other.

Principles

- All members must have their own Complaints Handling Policy and Procedures.
- There should be commitment at all levels of the business to a complaint resolutions system that is efficient, fair and accessible to customers.
- Complaint handling should be fair to all parties and allow everyone's views to be heard and considered in a balanced way.
- Complaints should be dealt with quickly and courteously. Those involved in responding to complaints should have the authority and ability to decide on an outcome and put it into effect.
- Information on how to make a complaint should be readily available and easily understood.

- It should not cost the customer anything to make a complaint. If they need help in lodging the complaint, the ASIAL member should be prepared to assist.
- Accurate records should be kept of complaints received and outcomes achieved.
- Recurring and systemic problems that come to light through the complaint handling system should be addressed.
- Complaint handling procedures should be reviewed from time to time and adjustments made where necessary.
- The complainant may withdraw the complaint at any stage of the resolution process.
- If a complaint remains unresolved, the parties can refer the matter to ASIAL's dispute resolution service.

Dispute Resolution Procedure

Both parties to a dispute indemnify ASIAL against all or any claims, costs, actions or proceedings of any nature which may arise as a result of ASIAL's investigation of this complaint.

Matters that are referred to ASIAL's dispute resolution service will be dealt with in accordance with the following procedures:

- Both parties to the dispute will be invited to present information as to how they view the matter and the key issues for them.
- The mediator will identify the main points the parties have raised.
- The mediator may request an industry expert to provide an assessment.
- The mediator will prepare a report of his/her findings.
- The parties will be presented with the results of the mediator's investigation and recommendations for resolution of the matter.

While ASIAL members are strongly encouraged to accept the findings of the mediator, any complainant dissatisfied with the outcome may pursue other remedies.

Where a complaint is lodged against a non-member, the complainant will be advised that ASIAL will not investigate the complaint although ASIAL will suggest other options and direction to the complainant. ASIAL reserves the right to refer the information to other bodies as considered appropriate. Such direction may include another Industry Association to which the non-member belongs, Licensing Authority, Consumer Affairs or the Fair Work Ombudsman.

In the case of all complaints against members received by ASIAL, the following procedure applies:

| Complaints Procedure | Action |
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| A verbal complaint is made | <ul style="list-style-type: none"> • Complainant requested to put the complaint in writing to the member. |
| Complaint received in writing | <ul style="list-style-type: none"> • ASIAL confirms the complainant has contacted the member directly. • ASIAL Secretariat initiates the complaint procedure. Depending on the nature of the complaint, matters may be referred to the Disciplinary Committee. • ASIAL contacts the Member and seeks resolution. • ASIAL advises complainant of the outcome of initial efforts to resolve the matter. |
| Issue NOT resolved | <ul style="list-style-type: none"> • ASIAL attempts to mediate and/or, • ASIAL investigates and reports outcome. The CEO will nominate an investigating officer. (the ASIAL Manager for Compliance and Regulatory affairs is nominated as the primary investigating officer) |
| ASIAL Investigating Officer interviews complainant. | <ul style="list-style-type: none"> • Report is made by Investigating Officer. |
| Member interviewed, report assessed and decision made on appropriate action | <ul style="list-style-type: none"> • Member and Complainant informed of decision. |
| Member complies with decision | All appropriate persons to be notified: <ul style="list-style-type: none"> • Complainant • Member Company • ASIAL Secretariat/CEO |
| ASIAL confirms complaint resolved | <ul style="list-style-type: none"> • Matter included in statistical analysis |
| If member refuses to cooperate, the matter may be placed before ASIAL Disciplinary Committee for consideration and further action. | <ul style="list-style-type: none"> • ASIAL Disciplinary Committee authorises action in accordance with the ASIAL Constitution. This may include legal action, sanctions and/or expulsion from ASIAL Membership. |