



NATIONAL ASSOCIATION
for LOSS and GRIEF
VICTORIA

COMPLAINTS PROCEDURE

ADOPTED MARCH 2006



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COMPLAINTS PROCEDURE

1. INTRODUCTION

1.1 Aim

The aim of this procedure is to afford protection to the public and to protect the Name of the profession of counselling as conducted by both individuals and organisational members of the Association.

1.1a In accord with this aim it is possible for the Association to act in the absence of a complaint in cases where it is deemed that not to act would be prejudicial to the good name and standing of the Association and/or the profession as a whole.

1.2 Bringing a Complaint

A complaint can be brought either by a member of the public seeking or using a Ser(Vic)e provided by a member of the Association, or by a member of the Association themselves.

1.3 Complaints against Non-members

The Association cannot deal with complaints against individuals or organizations who are not members of the Association.

1.4 Procedure

In outline the complaints procedure provides that:

On receipt of a complaint a decision will be made EITHER:

- a) To accept the complaint for further investigation and possibly adjudication
- OR
- b) To reject the complaint.

1.5 Procedural Requirements

The procedure requires that a complaint is correctly formulated (see **Section 2**) and that enough information is available for a decision to be made as to whether the complaint should go forward to be adjudicated or not. In cases where the information is considered insufficient for adjudication the complaint, the Chair of the Complaints Tribunal will gain further information and then decide if the complaint should go forward for adjudication. The facts discovered at preliminary investigation will inform the decision on whether the complaint should be accepted for adjudication or not. The adjudication of a complaint may be followed by the imposition of sanctions.

1.6 Timescale

A complaint can be lodged without time limitation in regard to the occurrence of the event(s) which form(s) the substance of that complaint.



1.7 Record Keeping

All documentary records of complaints will be kept for a period of 7 years from the finalisation of the Complaints Procedure.

1.8 Administration

The Administration of the Complaints Procedure will follow the protocols laid down from time to time by the Complaints Tribunal of the Association and these will be administered by a member of the Complaints Tribunal or designated Head Office staff.

1.9 Expenses

The Association is not responsible for travel or any other expenses incurred either by the Complainant or the Respondent in connection with any stage of the complaint.

1.10 Preparatory Consultations

Before making the complaint, the Complainant is expected to attempt to resolve the issue with the Individual or Organisational Respondent. The Complainant must demonstrate that all informal channels or, in the case of organisational members, all internal channels have been exhausted. If they have not, the Complainant will need to explain or demonstrate why not. Any person considering making a complaint may have preliminary discussions concerning the proper formulation of the complaint (see **Section 2**) and the implementation of the Complaints Procedure with the Chair of the Complaints Tribunal, who can be contacted through the Head Office of the Association.

1.11 Dual Accountability

The Complaints Tribunal may decide to stay a complaint if they become aware that another organisation is involved in a similar process arising out of the same substantive matters. Once the other organisation has finalised their procedure the Complaints Tribunal will proceed with the Complaints Procedure. The Complaints Tribunal may take into account the other organisations findings.

2. MAKING A COMPLAINT

2.1 The Complaint

The complaint must satisfy the following conditions:

- a)** the allegation is about a breach of a specific clause of the Membership guidelines as set out in the NALAG (Vic) Ethical Standards & Standards of Practice.
- b)** the complaint is brought either by a member of the public seeking or using a service provided by a member OR by a current member of the Association against another member of the Association.
- c)** attempts to resolve the matter between the two parties are shown to have been made, or if not, an explanation of why not is provided.
- d)** legal proceedings have not been issued or pending regarding matters forming the subject matter of the complaint.
- e)** the written and signed complaint is received by the Chair of the Complaints Tribunal.



2.2 Acceptance of a Complaint

- a) A copy of the complaint will be forwarded by the NALAG (Vic) to the Chair of the Complaints Tribunal for discussion with the Tribunal.
- b) The Complaints Tribunal will decide whether to accept or reject the complaint.
- c) Once the complaint is accepted the Complaints Tribunal will be asked by the Chair of the Complaints Tribunal to start the formal Complaints Procedure.
- d) If the Complaints Tribunal rejects the complaint, the Complaints Procedure will forthwith be terminated and the Complainant and the Respondent accordingly notified. Draft letters for this notification are to be found in **Appendix A**. In the event that the complaint is rejected the Complaints Tribunal still reserve the right to send the Respondent a letter of advice regarding the content of the complaint.

3. THE COMPLAINTS TRIBUNAL

3.1 Composition of the Tribunal

Upon receipt of a complaint the Chair of the Complaints Tribunal will appoint no less than three members, one of which can be the Chair of the Complaints Tribunal to preside over the complaint. The members can be permanent members of the Complaints Tribunal or Co-opted onto the tribunal for the term of the complaint. This is to enable the tribunal to access expert skills in the area specific to the complaint. If the Chair of the Complaints Tribunal is not able to preside over the complaint then a senior member of the Tribunal will be appointed to head the complaints procedure.

3.2 Conduct

Persons taking part in the Complaints Procedure are required to act in a manner that preserves confidentiality and avoids prejudicing the procedure's outcome or exercising an improper influence upon it. Any breach of this may result in the procedure being halted or terminated at any stage by the Chair of the Complaints Tribunal.

3.3 Evidence

All evidence submitted by either the Complainant or the Respondent will be open and available to all parties involved in the complaint. The Association will distribute to the other parties copies of all submissions made. A person who is not a party to the complaint or a member of the Complaints Tribunal shall not be entitled to copies of any documentation that comes into the possession of the Association as a result to the complaint. All evidence provided to the Association may be subpoenaed by a Court of Law.

3.4 Suspension of Rights of Membership

The Chair of the Complaints Tribunal can, after consultation with the Chair of the Association, pending the completion of the adjudication, suspend the Respondent's rights of membership of the Association when the majority of the Complaints Tribunal feel the complaint is of sufficient seriousness or because EITHER:

- i. physical or emotional harm has been caused
- AND/OR



- ii. the exploitation of a member of the public is involved
- AND/OR
- iii. where the complaint is of such a kind that it could result in the expulsion of the individual or organisational member from the Association if the complaint is upheld.

In addition to or instead of the aforementioned the following rights of membership can be suspended with immediate effect:

- a) promotion in publications of the Association
- b) the occupancy of a role within any structures or affiliated groups of the Association
- c) the right to put oneself forward for election to the Management Committee, the Chair of a Committee or any committee position
- d) voting rights
- e) any professional status conferred by virtue of membership such as Accreditation, Registration and Certification

The Chair of the Association will notify the Respondent of the suspension of membership or of the suspension of any rights of membership. (See **Appendix B** for draft letter.)

No liability for any loss suffered will attach to the Association for the suspension of membership or rights of membership where a complaint is not upheld.

3.5 Lapsed Membership

Failure to renew membership by a Respondent during the course of a complaint shall not normally terminate the Complaints Procedure, which will continue to its conclusion.

4. THE FORMAL COMPLAINTS PROCEDURE

4.1 Initial Notification

If the Tribunal accepts a complaint then the complainant is to be sent a letter (for draft see **Appendix C**) asking for permission for a copy of the complaint to be sent to the respondent (see section 4.2). If this permission is not forthcoming the complaints procedure is halted in accord with the principles laid down in section 3.3 and the complainant notified of same. Upon receipt of the above permission the respondent will be notified in writing that a complaint against them has been received (see **Appendix D** for a draft letter) and a copy of the letter of release sent by the complainant. As per section 4.3 they will also be sent a copy of the latest version of the Ethical Standards & Standards of Practice and a copy of the complaints and appeals procedure.

The Respondent will also receive notification of those matters in the complaint of principle concern to the complaints tribunal. This notification will include a list of what sections of the code they are considered to be in violation of and an invitation to respond to the Tribunal's concerns. This initial notification shall take place before any publication re the complaint occurs in the Association's Journal.

If the complaint is rejected at any time during this process the Complaints Tribunal reserve the right to send the Respondent a letter of advice regarding the content of the complaint.



4.2 Information Required from the Complainant

Once the complaint has been accepted the Complainant is notified of receipt of complaint and informed that in order for the complaint to proceed that they must agree in writing that:

- a) all information presented by them will be passed on to the Respondent.
- b) they give the Respondent authorisation to release, to the Complaints Tribunal, confidential information relevant to the complaint.

AND

- c) that they are not, at this stage, intending legal action against the member and if they decide to take independent legal action they will notify the Association of their intention to pursue legal matters.

If no confirmation is received from the Complainant within 21 working days then the complaint is rejected (in accord with the principles laid down in section 3.3) and the Respondent and the Complainant are notified of the decision.

4.3 Notification of Respondent

Upon receipt of notification from the complainant regarding information being passed on to the Respondent and that they are not pursuing independent legal action, copies of the complaint will be forwarded to the individual or Organisational Respondent. And, notification of the complaint (but not its substance) will be passed on to an Organisational Member of the Association of which the Individual respondent is a member or is known to be currently working for (if applicable).

The Respondent will also receive notification of those matters in the complaint of principle concern to the complaints tribunal. This notification will include a list of what sections of the code they are considered to be in violation of. The latest version of the Ethical Standards & Standards of Practice and a copy of the complaints and appeals procedure will also be sent to them at this time.

4.4 Responding to a Formal Complaint

The Respondent will be invited to submit a written response to the formal complaint, based on the list of concerns and code breaches already sent to them, to the Complaints Tribunal to be received by the Association within 14 working days.

- 4.4.1** If a response is not received within 14 days then the complaint will be upheld and sanctions imposed and the complaint published in the Association's Journal.
- 4.4.2** If a response is received then this response is forwarded to the Complainant for comment. If a Complainant wants to respond then response must be received by the Association within 7 working days.
- 4.4.3** The Tribunal may, at their discretion, ask for more information from either party via letter, phone interview or face to face interview. Please note that both parties must be given the opportunity to provide additional information and both must be interviewed via the same media.



4.5 Brief of Adjudication Meeting

The brief of the Adjudication Meeting is to examine complaint(s) in a formal manner, decide on their validity and recommend sanctions as appropriate. Where there are several complaints against the same member they may be heard separately or at the same Adjudication Meeting at the discretion of the Chair of the Complaints Tribunal. The Tribunal has the right to examine and take into account any former, or pending, complaints against the Respondent.

4.6 The Adjudication Meeting

The Complaints Tribunal will meet to adjudicate the complaint. The composition of the Complaints Tribunal will have regard to the aims of the Complaints Procedure, and the requirement on members of the Tribunal to be impartial. It will also have regard to the Association's equal opportunity policies and to the need for expertise required by the substance of the complaint.

4.7 Declaration of Interest

Members of the Complaints Tribunal have a duty to declare any interest that may be considered to compromise their impartiality. The views of the Complainant and the Respondent will be taken into consideration when deciding whether the impartiality of any member of the Complaints Tribunal might be so compromised as to require that they be replaced.

4.8 Conduct of Meeting

The Chair of the Adjudication Meeting (either the Chair of the Complaints Tribunal or the senior member presiding over the complaint) is responsible for ensuring that the Adjudication meeting is conducted in a manner that shows due regard to the gravity of the situation and to consideration of confidentiality.

4.9 The Adjudication

The Complaints Tribunal will decide whether the complaint is proved or not proved and may make recommendations on sanctions to be imposed. The Complaints Tribunal will, within 14 working days, produce a report outlining the complaint, the Tribunal findings and the sanctions to be imposed, which will be presented to the Chair of the Association to be applied in accordance with **Section 5** of this document.

4.10 Notification of Findings

- a) Within 14 working days, the Complaints Tribunal will produce a report outlining the complaint, the Tribunal findings and the sanctions to be imposed.
- b) The Chair of the Complaints Tribunal will notify the decision of the Complaints Tribunal to the Chair of the Association.
- c) The Respondent will be notified of the sanctions imposed by the Chair of the Association (see draft letter **Appendix E**).
- d) The decision to uphold the complaint will be published, detailing the clauses held to have been breached, in the Association's Journal. Any sanctions imposed will be published in the Association's Journal. The publication of the decision and sanctions



will be made only after the necessary time for notification of appeal has elapsed. (See **Section 6**)

- e) The Chair of the Complaints Tribunal will also notify any Complainant(s) of the decision and where applicable the sanctions imposed (see draft letter **Appendix E**).
- f) In a case where the individual Respondent is a member of or is known to be currently working for an Organisational Member of the Association, the Organisational Member will be informed of the outcome of the Complaints Procedure.

4.11 Venue

Adjudication Meetings will be held at a location deemed appropriate by the Chair of the Complaints Tribunal or the senior member presiding over the complaint. The venue selected for an Adjudication meeting will provide a secure and confidential environment.

5. SANCTIONS

Any of the following sanctions, or others deemed appropriate by the complaints tribunal, may be imposed. The compliance/non-compliance of these sanctions is to be supervised by the Chair of the Complaints Tribunal.

A PROBATIONARY PERIOD FROM 1 – 5 YEARS WITH:

- a) a requirement to demonstrate specified change/improvement by a specific date
- b) provision for a reporting supervisor, acceptable to the Association, but chosen by the member, to monitor the member's work
 - 1) In cases where a supervisor is to be appointed, the qualifications and experience of the nominated supervisor must be submitted to the Complaints Tribunal for approval
 - 2) Upon acceptance as a supervisor the Complaints Tribunal will forward the supervisor a copy of the ethical standards & standards of practice **and** a list of relevant concerns that need to be addressed in the supervisor's reports.
 - 3) The supervisor shall be notified of the time frame in which reports are to be submitted.
 - 4) All correspondence is to be forwarded to NALAG (Vic) head office marked: Attention: Chair of the Complaints Tribunal.
 - 5) It is the responsibility of the member NOT of the Complaints Tribunal to ensure that reports are submitted within the allocated time frame.
 - 6) Upon reception of a supervisor's report the Chair of the Complaints Tribunal is to call a meeting of the Tribunal within 14 working days.
- c) suspension of any professional status conferred by virtue of membership, such as Accreditation, Recognition (including the Registry and Referral Database), and rights of membership for a specific period and/or following the fulfilment of conditions specified by the Association.

EXCLUSION FROM THE ASSOCIATION WITH:

- a) termination of any professional status or membership
- b) a directive to cease counselling/training/supervision or other counselling related activities for a specific period or indefinitely
- c) such other sanctions as may from time to time be deemed appropriate to the particular circumstances of a case.



5.1 Lifting Sanctions

The Respondent may make application to the Chair of the Complaints Tribunal for the lifting of sanctions when the conditions laid down in the sanctions have been fulfilled. The Complaints Tribunal will consider evidence of compliance and will recommend to the Chair of the Association whether or not sanctions should be lifted. The Chair of the Association will notify the member of the decision. The lifting of sanctions will be published in the Association's Journal.

5.2 Failure to Comply with Sanctions

Failure to comply with sanctions will result with the Chair of the Complaints Tribunal writing to the Chair of the Association with information and recommendations on whether or not to terminate membership. The Chair of the Association will notify the member of the decision of the Management Committee which may be published in the Association's Journal.

6. CRITERIA FOR APPEAL

6.1 Appeals to go to the Chair of the Association

The Chair of the Association will receive all Appeals. All Appeals must be accompanied by any supporting documentation.

6.2 Criteria for Appeal

The Chair of the Association, or their delegate, who may take advice from the Association's Solicitor, will consider the appeal. In deciding whether an Appeal shall proceed or not, the Chair of the Association or their delegate, is empowered to investigate and interview witnesses in relation to any possible breach of the following criteria:

1. There has been a material breach of procedure laid down in the Association's Protocols and Procedures.
2. There has been intimidation of any party involved in the Complaints Procedure.
3. There is a bias by any person involved in the Complaints Procedure in a 'judiciary' capacity.
4. There has been failure to disclose a relationship between the investigator or a member of the adjudication panel and a person involved in the Complaints Procedure.

6.3 Action to be Taken if Criteria Satisfied

If the Appeal satisfies any of the criteria, the Appeal Procedure set out in **Section 7** hereof shall take effect.

6.4 Failure to Satisfy Criteria

If an Appeal does not satisfy any of the criteria the person lodging the Appeal will be notified by the Chair of the Association of the fact.



6.5 Decision to be Final

The decision of the Chair of the Association, or their delegate, shall be final as to whether any of the criteria are met.

7. APPEALS PROCEDURE

7.1 Timeframe

The Respondent may appeal the decision and/or the sanction(s) by writing to the Clerk of the Complaints Procedure within 14 working days of the notification of the sanctions.

7.2 Criteria

The criteria for making an Appeal and for determining whether those criteria are satisfied will be made under the provisions of **Section 6.2** hereto. Only if the criteria are satisfied shall the remainder of the procedure take effect, as set out in this section.

7.3 Composition of the Appeal Panel

The Chair of the Association, or his delegate, will appoint up to three people not previously involved in the case, to decide the appeal (the Appeal Panel). One member must be a member of the Management Committee of the Association previously uninvolved in the complaint and one member must be from outside the counselling profession.

7.4 Brief of the Appeal Panel

The Appeal Panel will review the evidence on which the decision was made, its decision and the sanctions imposed. The Appeal Panel can, at its discretion, interview the Respondent and the Complainant. Please note that both parties must be given the opportunity to provide additional information and both must be interviewed via the same means.

7.5 Decision of the Appeal Panel

The Appeal Panel will report its decision to the Chair of the Association, or his delegate, who will implement its decision which will be final.

7.6 Notification of Decision

The decision of the Appeal Panel will be notified to the appellant parties in writing, and also to the Complaints Tribunal within 7 working days. No reasons shall be required to be appended to that decision.

7.7 Publication

Where the appeal is not allowed the original decisions of the Tribunal and the sanctions imposed by the Chair of the Association and the date of their effect will be published in the Association's Journal.



8. PUBLICATION

8.1 Right to Publish

The Association reserves the right to publish such details of complaints as it considers appropriate. Normally details shall include the members name, date of effect of suspension/termination and articles of the code under which membership has been suspended/terminated.

8.2 Place of Publication

Any notification that the Association, under these procedures, is entitled to publish in its Journal may, at its discretion, be published elsewhere by the Association.

8.3 Termination of Membership to be Published

The Termination of membership under the Complaints Procedure will be reported in the Association's Journal and/or elsewhere in accord with **8.2**.

9. LEGAL ACTION RELATED TO COMPLAINTS

9.1 Requirements Re Legal Action

Complainants and Members Complained Against are required to notify the Tribunal if they learn of any type of legal action (civil or criminal) being filed related to the complaint.

9.2 If Legal Action is Undertaken During Complaint Procedure

In the event any type of legal action is filed regarding an accepted complaint, all actions related to the complaint will be stayed until the legal action has been concluded. The Tribunal will consult with legal counsel concerning whether the processing of the complaint will be stayed if the legal action does not involve the same complainant and the same facts complained of.

9.3 If Stay of Action is Required

If actions on a complaint are stayed, the Complainant and Respondent will be notified.

9.4 Continuation of Complaint After Legal Action

The actions on a complaint may be continued after legal action has been concluded. In this case the Complainant and Respondent will be notified.

9.5 Account to be Taken of Result of Legal Action

The Complaints Tribunal has the right to take into account the results of the legal action.



LETTER TO COMPLAINANTS REGARDING NON-CONTINUANCE

[Date]

Dear [Name]

Re: Complaint brought against XXX

I am writing to inform you that after serious consideration the NALAG (Vic) complaints tribunal has found that it cannot proceed with the complaint that you have lodged with us.

Although the matter you have raised with us is of concern Section XXXXX of our Complaints Procedure, which reads as follows:

XX
XX
XX

means that the complaints procedure can go no further.

[The following is an optional paragraph depending on the complaint, for complaints may be rejected due to lack of substance.]

However we will be contacting XXXXXXXX to advise them that a complaint has been made (though no names will be given) and the nature of the complaint (i.e. what guidelines may have been breached) and ask them to consider their methodology, policies and procedures in this regard and the possibility that some adjustment may be needed.

Should you have any further questions please feel free to contact me:

Chair of the Complaints Committee
NALAG (Vic).
Suite 4, Level 1.
182 Victoria Pde
East Melbourne. (Vic). 3002

All correspondence should be marked "Private and Confidential".

Yours faithfully,

XYZ
Chair, NALAG (Vic) Complaints Tribunal.



LETTER TO MEMBER REGARDING NON-CONTINUANCE

[Date]

Dear [Name]

Re: Complaint brought against you

I am writing to inform you that a letter of complaint has been received against you.

However, after serious consideration the NALAG (Vic) complaints tribunal has found that it cannot proceed with the complaint that has been lodged with us.

Although the matter that has been raised with us is of concern, Section XXXXX of our Complaints Procedure, which read as follows:

XX
XX
XX

means that the complaints procedure can go no further.

Although this complaint may proceed no further we would like to advise you that the complaint dealt with a breach of the NALAG (Vic) Code of Ethics section(s) as follows:

XX
XX
XX

We would therefore ask you to examine your methodology, policies and procedures in this regard and the possibility that some adjustment may be needed.

Should you have any further questions please feel free to contact me:

Chair of the Complaints Committee
NALAG (Vic).
Suite 4, Level 1.
182 Victoria Pde
East Melbourne. (Vic). 3002

All correspondence should be marked "Private and Confidential".

Yours faithfully,

XXXXXXX
Chair, NALAG (Vic) Complaints Tribunal.



LETTER OF RELEASE OF INFORMATION TO BE SIGNED & RETURNED

[Date]

Dear [Name]

Re: Complaint

In accord with the NALAG (Vic) Complaints Procedure sections 3.3 and 4.1 I hereby request that you sign the following and return it to:

Chair of the Complaints Committee
NALAG (Vic).
Suite 4, Level 1.
182 Victoria Pde
East Melbourne. (Vic). 3002

Please Note: All correspondence should be marked "Private and Confidential".

CLIENT AUTHORISATION

I, hereby give my consent for my Counsellor,

Counsellor:

Address:

Postcode:

Telephone No: E-mail:

to discuss and/or provide specific session information to NALAG (Vic) Complaints Tribunal to assist them in the investigation of my complaint.

I also provide authority to the NALAG (Vic) Complaints Tribunal to pass on any information I give to them to the respondent.

This authority is valid from the date of my signature.

All information given is to be treated as confidential.

Client's Name:

Client's Signature: Date: / /

Yours faithfully,

XYZ

Chair, NALAG (Vic) Complaints Tribunal.



LETTER OF NOTIFICATION TO COMPLAINANT(S) RE COMPLAINT

[Date]

Dear [Name]

Re: Complaint brought against XXX

I am writing to confirm receipt and acceptance of the above mentioned complaint brought against XXXXX, a member of the NALAG (Vic) and to inform you of the process for dealing with complaints.

All complaints brought against members of the NALAG (Vic) are dealt with by the Complaints Tribunal, a sub-committee of the NALAG (Vic) whose purpose is specifically to deal with and respond to complaints brought against its members.

All members of the NALAG (Vic) are required to interact with their clients in an ethical and responsible way, as outlined in the NALAG (Vic) Ethical Standards & Standards of Practice.

The Complaints Tribunal is responsible for administering the Ethical Standards & Standards of Practice.

The Complaints Tribunal employs a process of mediation, conciliation and arbitration where complaints brought against counsellors may be fairly defended and assessed. In processing complaints about alleged ethical misconduct, the Committee will compile an objective, factual account of the dispute in question and make the best possible recommendation for the resolution of the case. The Committee, in taking any action, shall do so only for cause, shall only take the degree of disciplinary action that is reasonable and shall utilise these procedures with objectivity and fairness.

Your complaint has been passed to the Complaints Tribunal and will be dealt with in accordance with policy. In assessing the complaint the Tribunal members may ask you to clarify some points or provide further information prior to a final resolution of the case.

Thank you for communicating your concerns to the Association and we will keep you informed throughout the procedure.

Should you have any further questions please feel free to contact me:

Chair of the Complaints Committee
NALAG (Vic).
Suite 4, Level 1.
182 Victoria Pde
East Melbourne. (Vic). 3002

All correspondence should be marked "Private and Confidential".

Yours faithfully,

XYZ

Chair, NALAG (Vic) Complaints Tribunal.



LETTER OF NOTIFICATION OF FINDINGS TO MEMBER

[Date]

Dear [Name]

Re: Finding Of Complaints Committee

The following is the finding of the NALAG (Vic) Complaints tribunal, which held a final meeting in relation to your case on [Date].

In accord with section 5 of the NALAG (Vic) Complaints procedure it has been determined that the following disciplinary actions be taken in regard to your case:

Findings of the NALAG (Vic) Complaints Committee

1) It was agreed by the committee that there were {insert #} main points of concern:

XX
XX
XX

- 2) The committee therefore has agreed implement to the following sanctions:
 Probationary membership for [insert timeframe] with the following conditions:
 - a) Suspension of membership rights re-certification, membership of committees, use of the initials MNALAG (Vic) or the word Clinical Member etc.
 - b) Supervisor, acceptable to NALAG (Vic), to send in quarterly reports looking at issues of concern to the committee, details supplied on acceptance of sanctions.
 - c) If similar substantiated complaints are received during the two probation membership will be terminated.
 - d) Letter of agreement to abide by these conditions, signed and witnessed by a JP to be sent to the Clerk of the Complaints Committee
 - e) At the end of this period, notification of the successful completion of the probation will be published in the same manner in which the sanctions were published.

Although these are the findings of the Tribunal I would like to inform you of your rights in accordance with the NALAG (Vic) Disciplinary Policy and Procedures in relation to Appeals. The following are the relevant paragraphs on appeals from the policy and procedure document.

6. CRITERIA FOR APPEAL

6.6 Appeals to go to the Chair of the Association

The Chair of the Association will receive all Appeals. All Appeals must be accompanied by any supporting documentation.

6.7 Criteria for Appeal

The Chair of the Association, or their delegate, who may take advice from the Association's Solicitor will consider the appeal. In deciding whether an Appeal shall proceed or not the Chair of the Association, or their delegate, is empowered to investigate and interview witnesses in relation to any possible breach of the following criteria:

- 5. There has been a material breach of procedure laid down in the Association's Protocols and Procedures.



6. There has been intimidation of any party involved in the Complaints Procedure.
7. There is a bias by any person involved in the Complaints Procedure in a 'judiciary' capacity.
8. There has been failure to disclose a relationship between the investigator or a member of the adjudication panel and a person involved in the Complaints Procedure.

6.8 Action to be Taken if Criteria Satisfied

If the Appeal satisfies any of the criteria, the Appeal Procedure set out in **Section 7** hereof shall take effect.

6.9 Failure to Satisfy Criteria

If an Appeal does not satisfy any of the criteria the person lodging the Appeal will be notified by the Chair of the Association of the fact.

6.10 Decision to be Final

The decision of the Chair of the Association, or their delegate, shall be final as to whether any of the criteria are met.

7. APPEALS PROCEDURE

7.8 Timeframe

The Respondent may appeal the decision and/or the sanction(s) by writing to the Clerk of the Complaints Procedure within 14 working days of the notification of the sanctions.

7.9 Criteria

The criteria for making an Appeal and for determining whether those criteria are satisfied will be made under the provisions of **Section 6.2** hereto. Only if the criteria are satisfied shall the remainder of the procedure take effect, as set out in this section.

7.10 Composition of the Appeal Panel

The Chair of the Association, or his delegate, will appoint up to three people not previously involved in the case, to decide the appeal (the Appeal Panel). One member must be a member of the Management Committee of the Association and previously uninvolved in the complaint.

7.11 Brief of the Appeal Panel

The Appeal Panel will review the evidence on which the decision was made, its decision and the sanctions imposed. The Appeal Panel can, at its discretion, interview the Respondent and the Complainant. Please note that both parties must be given the opportunity to provide additional information and both must be interviewed via the same means.

7.12 Decision of the Appeal Panel

The Appeal Panel will report its decision to the Chair of the Association, or his delegate, who will implement its decision, which will be final.

7.13 Notification of Decision

The decision of the Appeal Panel will be notified to the appellant parties in writing, and also to the Complaints Tribunal within 7 working days. No reasons shall be required to be appended to that decision.

7.14 Publication

Where the appeal is not allowed the original decisions of the Committee and the sanctions imposed by the Chair of the Association will be published in the Association's Journal

Should you have any further questions please feel free to contact me:

Chair of the Complaints Committee
NALAG (Vic).
Suite 4, Level 1.
182 Victoria Pde
East Melbourne. (Vic). 3002

Please Note: All correspondence should be marked "Private and Confidential".

Yours faithfully,

XYZ

Chair, NALAG (Vic) Complaints Tribunal.



LETTER OF NOTIFICATION OF FINDINGS TO COMPLAINANT(S)

[Date]

Dear [Name]

Re: Finding Of Complaints Committee

The following is the finding of the NALAG (Vic) Complaints tribunal, which held a final meeting in relation to your case on [Date]. In accord with section 5 of the NALAG (Vic) Complaints procedure it has been determined that the following disciplinary actions be taken in regard to your case:

Findings of the NALAG (Vic) Complaints Committee

1) It was agreed by the committee that there were {insert #} main points of concern:

XX
XX
XX

- 2) The committee therefore has agreed to implementation of the following sanctions: Probationary membership for [insert timeframe] with the following conditions:
 - a) Suspension of membership rights re-certification, membership of committees, use of the initials MNALAG (Vic) or the word Clinical Member etc.
 - b) Supervisor, acceptable to NALAG (Vic), to send in quarterly reports looking at issues of concern to the committee, details supplied on acceptance of sanctions.
 - c) If similar substantiated complaints are received during the two probation membership will be terminated
 - d) Letter of agreement to abide by these conditions, signed and witnessed by a JP to be sent to the Clerk of the Complaints Committee
 - e) At the end of this period, notification of the successful completion of the probation will be published in the same manner in which the sanctions were published.

It should be noted that there is an avenue of appeal. This process, if instigated, would take a further 21 working days to complete. If the appeal is successful you will be notified and given reasons for the reversal of the decision. An unsuccessful appeal means that the decision and attendant sanctions will stand.

Should you have any further questions please feel free to contact me.

Chair of the Complaints Committee
NALAG (Vic).
Suite 4, Level 1.
182 Victoria Pde
East Melbourne. (Vic). 3002

Please Note: All correspondence should be marked "Private and Confidential".

Yours faithfully,
XYZ
Chair, NALAG (Vic) Complaints Tribunal.

