

Policy & Procedure 12 – Complaints & Appeals

Relates to standards:	6.1 – 6.6 Standards for Registered Training Organisations (RTOs) 2015
Applicable to:	Learners, employers, community, industry, the Australian Skills Quality Authority, Skills Canberra, Training Services NSW and the ACT Training Fund Authority. Global Energy Training Solutions management, trainers/assessors, administration staff, contractors, volunteers and visitors.
Referenced documents:	Policy & Procedure 13 – Privacy Policy & Procedure 18 – Quality Management
Monitor and review:	In accordance with: Policy & Procedure 18 – Quality Management
Responsibility:	Ben Murphy – as Proprietor / Chief Executive
Questions/queries:	administration@gets.edu.au (+61) 02 6262 0077

Table of Contents

- 1. Policy Objective.....2
- 2. Definitions.....2
 - Fair.....2
 - Confidential.....2
 - Transparent.....2
 - Accessible.....2
 - Efficient.....2
- 3. Policy.....2
 - Recording of complaints and appeals.....3
 - Responding to complaints and appeals.....3
 - Escalation of complaints and appeals.....3
 - Internal review.....3
 - Privacy.....3
- 4. Procedures.....3
 - Time frame for review.....3
 - Complaints and appeals.....4
 - Lodgement.....4
 - Complaints and appeals register.....4
 - Forms in Appendix A at bottom of page.....4
- 5. Version Control.....4
- 6. Appendix A – Complaint or appeal form.....5

1. Policy Objective

To manage and respond to allegations involving the conduct of;

- the RTO, its trainers, assessors or other staff.
- a third party providing services on the RTO's behalf, its trainers, assessors or other staff.
- a learner of the RTO.

To ensure that all complaints and appeals are:

- addressed and resolved in a fair and equitable manner.
- consistent, fair and confidential.
- simple and easy to lodge.
- received and addressed as quickly as possible.
- used to assist us in improving our training and assessment and learner support services.

2. Definitions

Complaints and appeals are defined as any expression of dissatisfaction or grievance made to staff by a learner or employer in relation to our business or training and assessment practices.

Our complaint and appeal process is:

Fair

Both the person complaining (the complainant) and the person being complained about (the respondent) have an opportunity to present their version of events, to provide supporting information and to respond to any potentially negative decision. In addition, the person investigating and/or making decisions about the complaint or appeal is impartial; i.e. not favouring the complainant or the respondent or prejudging the complaint or appeal in any way.

Confidential

Information about a complaint or appeal is only provided to those people who need to know about it, in order for the complaint or appeal to be actioned properly.

Transparent

The complaint and appeal process and the possible outcomes of the complaint or appeal, will be clearly explained and those involved will be kept informed of the progress of the complaint or appeal and the reasons for any decisions.

Accessible

The complaint and appeal process is easy to access and understand and enables all involved to participate without hindrance i.e. a learner or employer may require a language interpreter or a person with a disability may need information provided in a specific format.

Efficient

The complaint and appeal process is conducted without undue delay. As time passes, information relevant to the complaint or appeal may deteriorate or be lost, which could impact on the fairness of the process. Unresolved complaints and appeals may have a negative and ongoing impact on our reputation.

3. Policy

Recording of complaints and appeals

All complaints and appeals made, verbal or written, are recorded in our Complaint and Appeal Register at the time the complaint or appeal is made, or as soon as possible afterwards. The complaint or appeal ideally is recorded by the staff member who took the details.

When taking a complaint or appeal, the staff member records the name and contact details of the learner or employer, as well as full details of the complaint or appeal including the date on the Complaints and Appeal Form (Appendix A). Details of all communication with the learner or employer and any actions to resolve the complaint or appeal, are recorded on the same document.

Recorded complaints or appeals are also monitored for any ongoing trends by management and efforts made to resolve any ongoing issues.

The learner or employer's personal details or the details of their complaint or appeal will not be divulged to a third parties, unless we have the learner or employer's written consent.

Responding to complaints and appeals

All learners or employers making a complaint or appeal are treated with courtesy. Where possible, complaints and appeals are resolved at the first point of contact. If appropriate to the complaint or appeal, front line staff can offer advice to resolve a complaint or appeal immediately. Complaints and appeals are still documented.

If the complaint or appeal can't be resolved immediately, the learner or employer are given a time frame, a contact person and details of the complaint or appeal handling process.

The person responsible for making decisions regarding a formal complaint or appeal will be the Proprietor / Chief Executive.

Escalation of complaints and appeals

If a complaint or appeal cannot be resolved by the usual complaint or appeal process, it will be referred to an independent person. The learner or employer are informed and given an amended time frame for resolution.

If we cannot resolve the complaint or appeal to the learner or employer's satisfaction, we inform them about further action they can take (eg. Equal Opportunity Commission, ACT Office of Fair Trading, ACT Ombudsman).

The Australian Skills Quality Authority also has a complaint and appeals procedure:

- <http://www.asqa.gov.au/complaints/make-a-complaint---domestic-students/make-a-complaint---domestic-students1.html>

Internal review

Review and implementation of necessary organisational changes identified through our complaints and appeals process in accordance with: Policy & Procedure 18 – Quality Management

Privacy

In accordance with Policy & Procedure 13 – Privacy

4. Procedures

Time frame for review

Formal complaints and appeals are acknowledged within two business days and formally responded to within ten business days

Complaints and appeals

A learner or employer can at any time lodge a complaint or appeal in regards to an assessment task decision, a competency assessment decision or a qualification assessment decision. Academic appeals are processed in accordance with the following:

- Complaints or appeals are welcomed and easy to lodge.
- The principles of natural justice and procedural fairness are followed.
- The decision maker is independent of the decision being reviewed.
- External arbitration is accessed, if required.
- All proceedings will be kept confidential.

Lodgement

Formal complaints and appeals are welcomed in writing, delivered via email or in person. Informal complaints and appeals are welcomed in person, via phone or in SMS text.

Complaints and appeals register

Records are stored electronically.

Forms in Appendix A at bottom of page

Records are stored electronically.

5. Version Control

Version	Date of release	Author	Authorised by	Position	Reason for change
V1	29/9/2015	Ben Murphy	Ben Murphy	Proprietor / Chief Executive	Initial release
V2	29/2/2016	Ben Murphy	Ben Murphy	Proprietor / Chief Executive	Moved existing policy into this format Changed complaints to complaints and appeals Formatted Moved Time frame for review and complaints and appeals to procedures Revision after staff consultation prior to release of V2.
V3	26/4/2017	Ben Murphy	Ben Murphy	Ben Murphy	Change of tense from future to present improved readability correction of typographical error Renumbered as per P&P numbering system Added decision maker for a formal complaint or appeal.

