

Policy and Procedure

Complaints and Appeals



1. Policy Objective

The objective of the *Complaints & Appeals* Policy and Procedure for Royal Life Saving Society Western Australia (RLSSWA), Registered Training Organisation (RTO) No. 0854 is to ensure that the RTO's *Complaints & Appeals* process meets the standards for RTO's 2015, RTO and Vocational Education and Training (VET) requirements and ensures a learner focussed approach to our services.

This Policy and Procedure support Standard 6 of the Standards for RTOs 2015.

2. Policy

This policy and its related procedures ensures that the Nationally Recognised Training (NRT) and accredited courses on RLSSWA scope of registration are delivered and assessed in accordance with the VET Quality Framework and are designed, developed and executed to the highest possible standards so as to benefit all learners. RLSSWA shall ensure that the delivery and assessment of NRT, including *Complaints and Appeals*, complies with all aspects of the VET Quality Framework.

3. Scope

This policy ensures all staff and learners are aware of their right to appeal and/or make a complaint against any decision or fact that has affected their study experience at our RTO.

This policy outlines the RTOs approach to managing complaints and appeals and ensures all stakeholders are aware of the steps to take to have their complaint or appeal addressed appropriately.

The policy provides an avenue for all complaints to be addressed in a fair, efficient and confidential manner. The RTO will manage and respond to allegations involving:

- The RTO
- A third party providing services on behalf of the RTO
- RTO trainers
- A learner of the RTO

We are committed to ensure all staff and learners are provided with the best possible environment in which to work and study. Despite all efforts of the RTO to provide satisfactory services to its learners, complaints may occasionally arise which require formal resolution. The following procedures provide learners the opportunity to have any issues relating to a substantiated complaint or appeal received and resolution reached, that attempt to satisfy all parties involved. This complaint and appeals process is at no cost to the learner.

We assure all learners that our RTO will handle any form of dissatisfaction fairly, effectively and efficiently. Any learner who is not satisfied with the outcome of their training may make an appeal.

The complaints and appeals policy shall ensure that all complaints are dealt with in a constructive and timely manner. All complaints and appeals shall be reported in the management meetings detailing the actions required to arrive at a satisfactory resolve of each complaint and grievance.

4. Definition

Complaint is defined as any act or commission that a customer or potential customer of our RTO believes to be unfair or discriminatory and relates to any RTO activity regarding operational and financial matters.

Appeal is defined as a request to review any RTO decision that has been made. Decisions include the outcome of a complaint and any decision regarding the assessment process and assessment outcomes.

5. Procedures

RLSSWA RTO will manage its complaints and appeals procedure by:

- Actively encouraging the learner to discuss any grievance with their Trainer and Assessor.
- Providing an easily accessible means of lodging complaints and appeals.
- Providing acknowledgement to the learner of the lodgement of a complaint or appeal.
- Investigating the complaint or appeal within the specified timeframes.
- Communicating the outcome of the complaint or appeal within the specified timeframes.
- Maintaining secure records of complaints, appeals and their outcomes.
- Identifying potential causes of complaints and appeals and takes the appropriate action to eliminate the potential for further occurrences.
- Informing the complainant about the National Training Complaints Hotline NTCH@education.gov.au if the complaint or appeal is unresolved.

Stage 1 – Informal complaint process

- Complaint is made to one of our RTO staff members.
- Complaint is recorded and emailed to our Training Manager.
- Complaint is recorded in the *Complaints Register* by the Training and Resource Manager.
- Training Manager sends out *Complaint Form* to the complainant (should they wish to complete).
- Training Manager seeks feedback from party whom the complaint was made against.
- Training and Resource Manager (TRM) follows up with the complainant within **5 working days** of receiving complaint.
- If the matter is unresolved, an internal investigation of the complaint is initiated by the relevant manager in consultation with the General Manager (GM).
- The outcome of the investigation will either be a resolution of the complaint or initiation of a formal complaint process.
- Should the matter be resolved the complainant is provided with a written statement of the outcome which outlines the details of the decision. The written statement will be provided within **10 working days** by the relevant manager.

Stage 2 – Formal complaint process

- Written complaint is received by an RTO staff member.
- Complaint referred to the RTO TRM.
- The TRM will acknowledge the complaint within **5 working days** of receipt.
- The TRM or independent staff member will investigate the complaint and liaise with all parties involved.
- The complainant and staff member are provided with a written statement of outcome outlining the details of the decision, the written statement of outcomes will be provided within **10 working days**.
- If the matter is resolved, written acknowledgment is provided to all parties.
- If the matter is unresolved it will be referred to the (GM) for review.
- The complainant is provided with a written statement of the final outcome which outlines the details of the decision. The written statement will be provided within **15 working days** by the GM or his representative.

- If required to attend a formal meeting/mediation session, the complainant may be accompanied at the meeting by a representative.

Appeals Process

- Appeal is made to one of our RTO staff members.
- Appeal is referred to our Training Manager for action.
- A written appeal is requested either using the Complaints and Appeals form or a detailed email to the Training Manager.
- Appeal is recorded in the *Complaints and Appeals Register* by the Training Manager.
- Training Manager seeks feedback from the trainer involved and reviews course paperwork regarding the assessment being appealed.
- Training Manager follows up within **5 working days** of receiving the appeal.
- Should the matter be resolved the complainant is provided with a written statement of the outcome which outlines the details of the decision. The written statement will be provided within **10 working days** by the Training Manager.

If the Complainant is still dissatisfied with the outcome of their complaint or appeal, they may involve the following:

- The regulator – ASQA
- An independent mediator
- Complaints Hotline NTCH@education.gov.au

All matters must be concluded within 60 calendar days and recorded in the RTO *Complaints and Appeals Register*. The Register must be kept up to date.

6. Confidentiality

Aggrieved persons' details, the nature of their appeal or complaint and outcomes must be kept confidential at all times.

The Complaints and Appeals Register is password protected. Access is available to the Training Manager and the Training and Resource Manager only.

