

COMPLAINTS PROCEDURE – PR003

1. PURPOSE

The purpose of this procedure is to outline the steps for handling complaints received from clients, staff and stakeholders.

2. SCOPE

This procedure applies to all complaints that impact on the organisation's management systems, quality of training and assessment, quality of client service and compliance with the VET Quality Framework. The complaints procedure relates to allegations involving the conduct of the RTO, its trainers, assessors or other staff, a third-party providing services on behalf of the RTO and/or a learner of the RTO.

3. DEFINITIONS

Australian Skills Quality Authority (ASQA). The authority responsible for registering training organizations in Australia, including all the processes relating to registration and the imposition of sanctions on RTOs.

VET Quality Framework (VQF) means the following:

- the Standards for Registered Training Organisations;
- the Australian Qualifications Framework;
- the Fit and Proper Person Requirements;
- the Financial Viability Risk Assessment Requirements;
- the Data Provision Requirements.

4. RESPONSIBILITIES

4.1. All staff are responsible for:

- 4.1.1. The documenting of complaints as per the scope of this procedure.
- 4.1.2. Sending the details of the complaint to the Director (or delegated person)

4.2. The Director (or delegated person) is responsible for:

- 4.2.1. Reviewing the complaints
- 4.2.2. Determining the root cause of the complaint
- 4.2.3. Determining the action, if any, to be taken and recording in the Action Register
- 4.3.4. Implementing the action
- 4.3.5. Following up of the complaint to ensure the complaint has been finalised and that corrective action has been implemented satisfactorily and the client is satisfied.
- 4.3.6. Ensuring that the principles of natural justice and procedural fairness are adopted at every stage of the complaint process

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5. PROCEDURE

- 5.1. Staff members receiving the complaint should discuss with the complainant the complaint details to determine if they can implement action that is agreeable to the complainant.
- 5.2. If the staff member resolves the complaint and the nature of the complaint is in regards to the RTO management systems, the quality of training and assessment, the quality of client services or a non-compliance of the VET Quality Framework the staff member should inform the Director (or delegated person) of the details of the complaint and the action implemented.
- 5.3. If the staff member receiving the complaint is unable to resolve the issue with the complainant or the complaint is outside of the staff member's area of responsibility then the staff member should request the complainant to put the complaint in writing to the Director (or delegated person).
- 5.4. The Director (or delegated person) will review the complaint within five (5) working days and determine the root cause of the complaint, determine the appropriate action, if any, record the actions in the Actions Register and implement the actions.
- 5.5. The Director (or delegated person) will provide a written response within fourteen (14) working days to the complainant of the action taken and the reasons for the decision.
- 5.6. Where the RTO considers more than 60 calendar days are required to process and finalise the complaint, the RTO will:
 - 5.6.1. inform the complainant in writing, including the reasons why more than 60 calendar days are required; and
 - 5.6.2. regularly update the complainant on the progress of the matter.
- 5.7. The Director (or delegated person) will review the action to determine its effectiveness and client's satisfaction.
- 5.8. If the client is dissatisfied with the outcome of the complaint, they can appeal the outcome in accordance with the RTO's procedure PRO04 Appeals Procedure.
- 5.9. Any complaint which appears to be related to any illegal activity such as theft, assault etc. will be referred to the appropriate authority after discussion with the person making the complaint.
- 5.10. All records of complaint will be maintained in accordance with the procedure PRO06 Records Management
- 5.11. The organisation seeks to prevent complaints by ensuring that students are satisfied with their training product and its outcomes. Personnel are expected to be fair, courteous and helpful in all dealings with students.

6. REFERENCES

Student Handbook
 PR001 Continuous Improvement Procedure
 PR006 Records Management Procedure

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VET Quality Framework

7. RECORDS

Actions Register
 Complaint files

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APPEALS PROCEDURE – PR004

1. PURPOSE

The purpose of this procedure is to outline the steps for processing a student’s appeal against an assessment decision.

2. SCOPE

This procedure applies to any appeals in relation to assessment decisions for assessments conducted by Alibi Training Australia.

3. DEFINITIONS

Australian Skills Quality Authority (ASQA). The authority responsible for registering training organizations in Australia, including all the processes relating to registration and the imposition of sanctions on RTOs.

VET Quality Framework (VQF) means the following:

- the Standards for Registered Training Organisations;
- the Australian Qualifications Framework;
- the Fit and Proper Person Requirements;
- the Financial Viability Risk Assessment Requirements;
- the Data Provision Requirements.

4. RESPONSIBILITIES

It is the responsibility of all trainers/assessors to assist applicants with the appeal process.

It is the responsibility of the Director (or delegated person) to ensure the appeal process is carried out in accordance with this procedure.

5. PROCEDURE

5.1. Students shall use this process for appeals in relation to academic decisions (results of assessments).

5.1.1. An appeal must be lodged within twenty (20) working days of completion of the assessment. Records may be discarded after this period.

5.1.2. Applications for appeal must be submitted in writing to The Director, Alibi Training Australia, PO Box 727 Rochedale South QLD, 4123.

5.2. The procedure for academic appeal shall be:

5.2.1. Student makes an informal approach to the Trainer/Assessor.

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- 5.2.2** If the matter is not resolved, the student’s appeal shall be forwarded to the Director (or delegated person) for consideration. The Director (or delegated person) will provide a written statement of the appeal outcome and the reasons for the decision.
- 5.2.3.** If the Director (or delegated person) cannot resolve the situation, the student can request that an Independent Panel consider the appeal. The panel shall consider the appeal within fourteen (14) days of notification of the application. The student may have an adviser in attendance during the proceedings of the Independent Panel.
- 5.2.4.** Where the RTO considers more than 60 calendar days are required to process and finalise the appeal, the RTO will:
- a) inform the appellant in writing, including the reasons why more than 60 calendar days are required; and
 - b) regularly update the appellant on the progress of the matter.

5.3. Independent Panel procedure.

- 5.3.1.** Review the circumstances of the appeal and make a decision on the evidence submitted.
- 5.3.2** Keep a record of the proceedings to ensure that the appeal procedure was conducted fairly.
- 5.3.3.** The decision of the Independent Panel shall be given in writing to the Director (or delegated person) and the student outlining the reasons for the decision.
- 5.3.4.** A copy of the proceedings conducted by the Independent Panel and the original application form will be given to the student.
- 5.3.5.** The decision of the Independent Panel shall be final.

Membership of Independent Panel

The Panel may consist of:

- Director.
- Trainer/assessor not involved with the management of the student.
- Industry Representative (Industry Skills Council, Licensing Authority).

6. REFERENCES

Student Handbook
VET Quality Framework

7. RECORDS

Director’s report
Independent Panel report
Completed assessments

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