

# Complaints and Appeals Policy

## Purpose

AVELING will ensure that all complaints and appeals will be dealt with fairly, promptly, impartially, confidentially and in a timely manner.

## Scope

This policy is relevant to all complaints and appeals received about:

- Assessment outcomes
- Behaviour standards of trainers
- Behaviour standards of learners
- Third parties

This policy will adopt the principles of natural justice and fairness by informing those involved in the allegations, thereby providing those involved an opportunity to present their side of the matter.

## Responsibility

All AVELING Employees, Contractors and Associated Entities have a responsibility to ensure that all complaints and appeals are dealt with in a fair, prompt, impartial, confidential and timely manner.

Compliance Manager will organise for an assessment appeal application to be assessed by personnel holding a Certificate IV in Training and Assessment

Departmental Manager will investigate complaint related to their area of responsibility. The designated Manager is responsible to contact the complainant to advise them that the complaint has been received and to discuss the result of the investigation as required.

## Policy

### 1. All participants have the right to appeal a decision made on an assessment

- Appeals must be within 21 days of the assessment outcome notification.
- Appeals should be lodged within 7 (seven) days of receiving the AVELING Complaints and Appeals form.
- Assessment appeals will be responded to in writing within 21 (twenty-one) working days
- Online assessment appeals will be responded to within 5 (five) working days

### 2. Complaints may arise with participants, clients, trainers or third parties regarding the quality of service provided by AVELING. All complaints will be taken seriously and will be dealt with in a fair, prompt, impartial, confidential and timely manner. Where a complaint is about a learner the Behaviour Standards for Participants and Conflict Resolution Process will apply.

- Complainants must follow AVELING's complaints process before making a complaint to ASQA
- Complaints may be received in writing, in person, email, web, fax or the completion of the AVELING Complaints and Appeals form
- All complaints will be acknowledged in writing within 5(five) working days of receipt
- All complaints will be forwarded to the appropriate Manager who will contact the complainant to advise them that the complaint has been received

3. **Conflict of Interests** - In the event that there is a conflict of interest or unresolved appeal or complaint, an external representative will be contacted. This representative may be from CCI, another RTO or an independent person dependant on the requirements.
4. **Subject Matter Experts** will be called upon to assist in areas of expertise, if required.
5. **Investigation** - The potential causes of the appeal or complaint will be investigated and where required corrective actions will be implemented and communicated to all parties involved.
6. **Communication of outcome** - A final outcome and reasons for the outcome will be provided in writing to all persons involved
7. **Retention of Records** - All records in relation to the appeal or complaint will be retained by AVELING, as per the Retention of Records Policy.
8. **Independent Third Party** – If an independent third party is to be engaged to review or facilitate a complaint or appeal, then the cost associated with this will be made available to the complainant prior to engagement of the third party.

### **Breach of Policy**

Any activity undertaken by an AVELING Employee or Contractor which represents a failure to meet these obligations may be determined as misconduct or serious misconduct, resulting in:

- Disciplinary action, up to and including termination of employment or contract; or
- Civil or criminal penalties as provided by law.

### **Related Legislation and Documentation**

- Standards for Registered Training Organisations 2015 (Clause 6.1, 6.2, 6.3, 6.4, 6.5).
- RTO-FRM-014-1 Complaint Appeal Form
- QMS-PRO-004 Records Storage and Archiving Procedure
- QMS-GUI-004-1 Retention of Records Matrix

### **Definitions**

Appeal – Appealing the decision made on an assessment.

Complaint – Complaints may arise with participants and clients regarding the quality of service provided by AVELING.

CCI – Chamber of Commerce and Industry