

Complaints and Appeals Policy

Purpose

To ensure that all complaints and appeals received by AVELING 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 and assessors
- Behaviour standards of learners
- Third parties (including those providing services on AVELING’s behalf)
- AVELING staff

Responsibility

- Employees are responsible for the reporting of complaints and the implementation of solutions to complaints
- Departmental Managers are responsible for investigating complaints and appeals and liaising with complainants and appellants
- Compliance Team is responsible for assisting with the gathering of evidence and providing advice to ensure the best possible outcome for appeals and complaints
- Directors are responsible for providing guidance and approval of any relevant resources required for the closing out of the appeal or complaint

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.

Associated Documents

Document Reference	Document Title
RTO-FRM-014-1	Complaint Appeal Form
RTO-PRO-014	Complaints and Appeals Procedure
QMS-PRO-004	Records Storage and Archiving Procedure
QMS-GUI-004-1	Retention of Records Matrix

Related Legislation

- Standards for Registered Training Organisations 2015 (Clause 6.1, 6.2, 6.3, 6.4, 6.5).

Policy

All participants have the right to appeal a decision made on an assessment by AVELING or by a third party providing services on behalf of AVELING.

Complaints may arise with participants, clients, trainers or third parties regarding the quality of service provided by AVELING or third parties providing services on AVELING's behalf.

All complaints and appeals will be taken seriously and will be dealt with in a fair, prompt, impartial, confidential and timely manner.

The process for making a complaint or appeal is outlined below:

1. Making a Complaint or Appeal

- Appeals must be made within 21 days of the assessment outcome notification.
- Appeals should be lodged within 7 days of receiving the AVELING Complaints and Appeals Form.
- Complaints may be received in writing, person, email, web, fax or the completion of the AVELING Complaints and Appeals.
- The Complaints and Appeals form is available by contacting AVELING and can be provided via email or in person.
- Complainants must follow the process outlined above before making a complaint to ASQA.

2. Acknowledgment of Complaint or Appeal

- All Complaints and Appeals will be forwarded to the appropriate manager and acknowledged in writing within 5 working days.
- Complainants will be provided with an estimated timeframe for resolution.
- Assessment appeals will be responded to within the following timeframes:
 - Appeal for face to face course - within 21 working days
 - Appeal for online course – within 5 working days

3. Investigation of Complaint or Appeal

- Appeal - The Compliance Manager will investigate the appeal and ensure that the personnel assessing the appeal are independent of the original outcome decision.
- Complaint - The Department Manager will investigate the complaint, identifying any potential causes, and ensuring that all relevant parties have the opportunity to tell their side of the story before a decision is made.
- If, for any reason, more than 60 calendar days will be required to process and finalise the appeal or complaint, the appellant or complainant is advised in writing, including reasons why more than 60 days are required; and will be provided regular updates on the progress of the matter.

4. Independent Third Party Engaged (if Required)

- In the event that there is a conflict of interest or unresolved appeal, an external third-party representative, such as a subject matter expert, is contacted to facilitate the complaint or appeal.
- The complainant or appellant is advised of the associated cost prior to the engagement of this third party.

5. Communication of Outcome

- On the determination of the complaint or appeal outcome, the complainant or appellant is notified in writing.

6. Corrective Actions Taken

- Where required, corrective actions will be implemented and communicated to all parties 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 Matrix.

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.