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A flexible & innovative approach to industry training & development

COMPLAINTS AND APPEALS POLICY

PURPOSE: This policy and procedure is to provide clear guidance on the informal and formal process of a stakeholder complaint within IIFP. IIFP aims to provide a fair and equitable and productive environment for all its learners, staff and stakeholder and is committed to addressing all issues promptly

SCOPE: This procedure applies to all dealings with IIFP staff, trainers, clients, stakeholders and training participants. The dispute resolution process described in this policy does not prevent a learner from exercising the learner's rights to other legal remedies.

RESPONSIBILITIES: The Learner Engagement Officer is responsible for managing the process of formal complaints as described within this procedures

REFERENCES: **Standards for Registered Training Organisations (RTOs) 2015**
Standard 6 Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively.
and
Clause 2.2 b,2.4,5.2

RECORDS, FORMS & MATERIALS:

Document

p187 Customer Grievance Process & Forms
IIFP0304v...Learner Information Handbook
Complaint Form
Complaint Meeting Letter Template
Complaint Resolved Letter Template
Complaint no further action letter Template

PROCEDURES

Formal complaints and appeals must be recorded in writing. A Complaint Form must completed and lodged within 14 days of the originating act, Complaints lodged after the 14 day window will be subject to approval of process by the CEO.

IIFP will treat all complaints and appeals confidentially at all stages of the process. Access to information about a complaint shall be strictly limited to those staff that "have a need to know" in order to deal with the complaint.

Complainants will be advised of the likely timeframe required to investigate and resolve a complaint and regularly updated as to progress where necessary.

Where the Learner Engagement Officer considers more than 60 calendar days are required to process and finalise the complaint or appeal, the RTO:

- informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required, and
- regularly updates the complainant or appellant on the progress of the matter.

COMPLAINTS

Complaints may vary greatly in their level of complexity and seriousness. All staff are empowered to handle complaints in the first instance and it is preferable that they are dealt with promptly at the initial point of contact. Minor complaints can be easily rectified, for example learner did not receive workbook or missed receiving a handout.

All stakeholders are to access IIFP formal complaints process and lodge a written complaint. Any written Complaint Form will be directed to the Learner Engagement Officer for investigation and resolution.

A complaint should be lodged using the Complaints Form, describing the issue, who is involved and appropriate evidence supporting the complaint. This form is to be submitted to the Learner Engagement Officer within 14 days of the occurrence. No charges or costs are incurred by a learner who lodges a Complaint or Appeal

Complain forms are available at training reception and in the Learner Handbook.

Complaint Process

Once a complaint has been received the Learner Engagement Officer will:

1. acknowledge the complaint in writing
2. investigate the complaint
3. formally invite the complainant to a resolution meeting
4. provide written notification of the agreed findings
5. record the final outcome in the IIFP Register under Complaints with any improvements undertaken under the Continuous Improvement tab
6. table system improvement recommendations at next executive meeting

All parties may be accompanied by a support person at any time. The investigation and resolution process will be conducted no later than 10 working days after lodgement of the complaint.

If the complaint is supported, a written decision with actions on a substantiated complaint is provided to the complainant. The complainant may wish to appeal the official decision, and will be informed of the external complaints process.

- If the complaint is not supported, a written decision with actions on a substantiated complaint is provided to the complainant. The complainant may wish to appeal the official decision, and will be informed of the external complaints process.

If the complaint has not been resolved to the complainants' satisfaction all complainant have the right to lodge a complaint with an external agency.

Records of a complaint is to be recorded in the Complaints tab

APPEALS

A Learner Candidate has the right to appeal an assessment decision if they feel that the assessment was unfair or carried out incorrectly. A Learner may appeal against an assessment or their assessment results on the following grounds

- inadequate information provided
- notice of less than that specified by the local rules was given
- the assessment is deemed to be incongruent with what was taught or the assessment dealt with matters not taught
- the assessment did not address specific disadvantages such as an allowable disability
- events outside the clients control affected the assessment conditions, such as;
 - faulty equipment
 - unclear instructions
 - obvious processing error in the result given
 - dispute about correctness of assessment answers or other performance.

IIFP seeks to prevent assessment appeals by ensuring learners are satisfied with the training and assessment process. All training and assessment personnel are expected to be fair, courteous and helpful in all dealings with learners. Before making a formal appeal (within 5 days of the assessment notification), learners are required to discuss the matter with the relevant Assessor in an effort to reach an agreement. The Assessor will undertake to reassess the judgement decision that has been made. If a learner is still unhappy, they can lodge a formal appeal in writing to the Head of the RTO. Upon receiving a formal appeal, the Head of the RTO will appoint the compliance team as a third party to try to resolve the issue raised. Any decision recommended by the third party is not binding to either party. If the learner is still unhappy, IIFP will appoint an Arbitrator to investigate.

The arbitrators will make a decision to:

- grant the appeal and award recognition
- arrange for the person to be re-assessed by you or another assessor
- deny the appeal.

One appeal is allowed for each assessment. The decision of the arbitrator is final.

Maintaining Learner Enrolments

IIFP will maintain a learner's enrolment whilst the complaint process is ongoing. The learner may attend classes but if they choose not they will be made aware the decision may hinder their learning progress

Results and Decisions on Complaints and Appeals

Results and decisions granted in favour of the complainant will be implemented and/or corrective and preventative action taken by IIFP no later than 10 working days from lodgement of the complaint.

Where a complaint is found to be sustained the IIFP will take whatever action is needed to ensure that the issues regarding the complaint are addressed so that it does not reoccur. Such action may include counselling of staff where necessary

Following a complaint and resolution the Learner Engagement Officer will:

- Investigate if any corrective action is required to improve the main issues raised as a result of the complaint or appeal by the complainant
- Instigate corrective action for any processing or system errors that may have occurred as a result of the complaint or appeal. Monitor and improve progressively any situations that may be necessary due to the complaint or appeal
- ensure that copies of all records of the Complaint Action are recorded in:
 - 1 copy in the learner file
 - original documents and record of the complaint and resolution entered into the Complaints tab
 - include complaint or appeal information as necessary in the relevant unit validation event
 - ensure actions that result in improvement of RTO operations are recorded in the Continuous Improvement Tab.

Annual Review

An annual review will be undertaken by the Compliance Officer to review of all complaints, the review process will evaluate any trends or identify areas that could be investigated for improvement.

All stakeholders will be made aware of this policy in the following ways:

Learners – This policy appears in the Learner Information Handbook which is available on the website or via email enquiry from customer service. The Learner Handbook is available prior to enrolment and the Complains and Appeals process is explained during the enrolment process.

Staff – The policy will be presented to staff during their induction process and referenced in again in the Learner Handbook, available on the IIFP Website.

External Complaints Process

If the complaint has not been resolved to the complainants' satisfaction, the complainant has the right to lodge a complaint with an external agency.

Office of the Training Advocate - Ground Floor West, 55 Currie Street, Adelaide
Phone: 1800 006 488 **Email:** trainingadvocate@sa.gov.au

Australian Skills Quality Authority - complaints that relate to compliance with the registration requirements under Standards for NVR Registered Training Organisations

Website: <http://www.asqa.gov.au/complaints/complaints.html>

Fair Work Ombudsman in relation to complaints in relation to wages, conditions of employment and workplace rights.

Work Infoline: 13 13 94 **Website:** www.fairwork.gov.au/complaints

Where a decision or outcome is in favour of the Complainant, IIFP shall follow the required action and recommendation from the third party mediator to satisfy the learner's complaint appeal as soon as practicable

APPROVAL, REVIEW & VALIDATION

This policy was last reviewed by the CEO and Team members in February 2018.

This policy has been approved by Independent Institute (IIFP).

Stephan Knoll

Chief Executive Officer

COMPLAINT FORM

Participant Details			
Name		Learner ID number	
Address			
Contact number:		Date of incident	
Date of Complaint Action:		Location:	
Nature of the complaint			
Please describe the details of the complaint (you should attach support documentation if required)			
What action would you like to suggest to resolve this complaint?			

The information herein provided is true and correct.

Signed: _____ Date: ____ / ____ / ____

Instructions to complete this form

1. Ensure you fill out every section of this form.
2. Provide as much detail as possible to the events that took place. (Use additional pages if required)
3. Provide any evidence to support your complaint.
4. Once this document is complete, it can be emailed to WHO, given to IIFP reception or your trainer

