

COMPLAINTS PROCEDURE – PRO 03

1. PURPOSE

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

2. SCOPE

This procedure will manage allegations involving the conduct of:

- AQTraining, its staff, its trainers, assessors and other staff
- Stakeholders and others
- Any third party providing services on the RTO's behalf its trainers, assessors or other staff (where this may be relevant to its operations)
- A student of AQTraining.

3. DEFINITIONS

Complaint - is any expression of dissatisfaction with an action or service of the Registered Training Organisation.

4. RESPONSIBILITIES

4.1 All staff are responsible for:

- 4.1.1. The documenting of complaints as per the scope of this procedure.
- 3.1.2. Sending the details of the complaint to the Manager

4.2. The Manager is responsible for:

- 4.2.1. Acknowledging the complaint in writing
- 4.2.2 Informing the relevant parties
- 4.2.3 Ensuring natural justice and fair procedure is followed throughout the process
- 4.2.4 Reviewing the complaints
- 4.2.5 Providing in writing, a response to all parties including any options for appeal
- 4.2.6 Determining the root cause of the complaint
- 4.2.8 Determining the action, if any, to be taken and recording in the Action Register

Document name	Complaints Procedure PRO03		SRTO		6
Issue Date	Feb 2017	Review Date	Feb 2018	Version	7
Document Control Management – Uncontrolled when printed					

- 4.2.9 Implementing the action
- 4.2.10 Following up of the complaint to ensure complaint has been finalised and that corrective action has been implemented satisfactorily and the client is satisfied.
- 4.2.11 Ensuring complaints process and outcomes are reviewed as part of the PRO 01 Continuous Improvement Procedure to ensure preventive and corrective actions (improvements) taken as the result of any investigations have occurred.
- 4.2.12 Ensuring the complaint **process** is publicly available via the RTO website and Student Handbook and that sufficient information or guidance is available if requested, to the full procedure.

5. PROCEDURE

- 4.1. 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.
- 4.2. 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 Standards for Registered Training Organisations the staff member should,
 - ensure the complaint is acknowledged to the complainant in writing,
 - the Manager is informed of the details of the complaint and the action implemented
 - copies of all correspondence and notes are provided to the Manager.
- 4.3. 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 Manager.
- 4.4. The Manager will review the complaint and within 5 working days
 - acknowledge the complaint in writing
 - undertake preliminary enquiry to determine nature of the complaint
 - inform other relevant parties (if necessary)
 - provide all parties an opportunity to present their cases
 - discuss the resolution and any arrangements required by the RTO with the parties
 - record outcome of discussion on **Complaints Form**
 - determine suitable resolutions for the complaint
 - record the resolution arrangements on **Complaints Form**
 - provide the outcome in writing to the complainant (and other parties if relevant)

Document name	Complaints Procedure PRO03		SRTO		6
Issue Date	Feb 2017	Review Date	Feb 2018	Version	7
Document Control Management – Uncontrolled when printed					

- *If the complaint is made by or relates to a current student, there will be no action to the student's enrolment during complaint resolution, unless there is a serious concern for the health and safety of that or any other student/s.

4.5. The Manager will provide a written response within 14 working days to the complainant of the action taken and the reasons for the decision.

4.6. Should the complainant not be satisfied with the outcome of the complaint they will be advised how they can appeal the decision through the RTO's appeals procedure.

4.7. Written records will be retained in AQTraining's Complaints file and a copy stored on the relevant student's files if applicable.

All complaint records are stored and maintained in accordance with PRO 06 Records Management Procedure.

4.7. The Manager will review the action to determine its effectiveness and client's satisfaction.

Any complaint that is related to illegal activity, such as theft, assault etc, will be referred to the appropriate authority.

4.8. The Manager will 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. REFERENCES

Student Handbook

PRO 01 Continuous Improvement Procedure

PRO 04 Appeals Procedure

PRO 06 Records Management Procedure

National Vocational Education and Training Regulator Act 2011

6. RECORDS

Actions Register

Complaint files

Document name	Complaints Procedure PRO03		SRTO		6
Issue Date	Feb 2017	Review Date	Feb 2018	Version	7
Document Control Management – Uncontrolled when printed					