



Complaints and Appeals Policy

1. PURPOSE

The purpose of this policy is to outline the appeals and complaints standards and processes implemented by Pro-Lift Training & Assessment Services.

Standard 6 – Fair complaints handling. Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively.

Clauses 6.1 – 6.5

2. SCOPE

The scope of this policy applies to all Pro-Lift Training & Assessment Services business activities.

3. RESPONSIBLE PARTIES

RTO Manager/Director –policy control, oversee all complaints and appeals procedures ensuring processes are carried out according to the set procedures.

Trainers/Assessors – communicate complaints and appeals procedures to trainees and assist in the complaints and appeals processes.

RTO Administration Staff – implementing the complaints and appeals procedures; collect/document complaints and appeals as per procedures.

4. POLICY

Pro-Lift Training & Assessment Services aims to address all complaints and appeals within a reasonable time frame as to not disadvantage the client or Pro-Lift Training & Assessment Services.

Pro-Lift Training & Assessment Services securely maintains records of all complaints and appeals and their outcomes.

Through these processes the RTO will identify potential causes of complaints and appeals and take appropriate corrective action to eliminate the likelihood of a reoccurrence. This will occur through the Root Cause Analysis.

Complaints

Complaints may include the conduct of:

- the RTO, trainers, assessors or other staff
- a third party providing services on the RTO's behalf
- a learner/trainee of the RTO

Document Name	Version	Created by:	Created Date	Revised Date	Page
PL – 014 Complaints and Appeals Policy	3	PM	11/11/2014	27/01/2015	1



Complaints and Appeals Policy

All complaints will be initially addressed when the complaint is received. If the complaint cannot be addressed by the Pro-Lift Training & Assessment staff member receiving the complaint or resolved at this point, the complaints procedures should be followed.

Complaints must be lodged in writing and submitted to Pro-Lift Training & Assessment Services. The Director or nominated RTO staff member will review and provide a written response within 10 working days and aim for a full resolution within 60 (working days) of receipt of complaint.

All complaints and complaint details are recorded in the Complaints and Appeals Register (FM – 033)

Appeals

Trainees are encouraged to initially approach the trainer/assessor for an informal review of assessment. If the appeal cannot be resolved the appeals procedure should be followed.

Formal appeals must be lodged within 20 working days of completion of assessment and submitted in writing. Appeals will be submitted to the Director for consideration who will provide a written response within 10 working days with an aim for a full resolution within 20 working days from receipt of appeal.

In the event that the RTO Director cannot resolve the appeal within this timeframe the Independent Panel procedures will be followed. The independent panel will review the appeal within 10 working days of receipt and provide their decision in writing. The appellant will be offered re-assessment by the panel.

In the event that this process cannot be finalised within 60 days the panel will provide written communication to all parties explaining the delay. The decision of the independent panel will be final.

The Independent Panel will consist of:

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

All appeals and appeal details are recorded in the Complaints and Appeals Register (FM – 033)

Mediation

In the event a complaint or appeal cannot be resolved a third party will be asked to review the complaint/appeal. The appropriate party will be independent from Pro-Lift Training & Assessment Services and the complainant/appellant.

For example a mediator can be provided by the Australian Mediation Association. Pro-Lift Training & Assessment Services agrees to pay the cost of one mediation session of up to two hours. Should the matter require further mediation, it would be at the cost of the complainant or appellant.

Document Name	Version	Created by:	Created Date	Revised Date	Page
PL – 014 Complaints and Appeals Policy	3	PM	11/11/2014	27/01/2015	2



Complaints and Appeals Policy

Root Cause Analysis

Pro-Lift Training & Assessment Service, as part of the Complaints and Appeals procedures, record all complaints and appeals and the relevant details into the Complaints and Appeals register. This will allow RTO management to review and analyse the root causes of the complaints and appeals received.

Through this analysis the causes of complaints and appeals and any trends occurring can be identified. This will allow improvements to be made to not only improve the training and assessment services provided but also reduce the number of complaints and appeals received.

The review and timeframe for Root Cause Analysis will be dependent upon the number of complaints and appeals received.

5. REFERENCES

RTO Standards

6. RECORDS

PR – 014 Complaints and Appeals Procedures

FM – 026 Complaints & Appeals Form

FM – 033 Complaints and Appeals Register

HB - 001 Student Handbook

Document Control

Version	Date	Originator	Reviewed By	Date Approved	Comment
1	11/11/2014	P. Mould		11/11/2014	New procedure
2	05/01/2015	P. Mould	P. Mould	05/01/2015	Updated policy to reflect new standards
3	27/01/2015	P. Mould	P. Mould	27/01/2015	Update policy to include complaints register and root causes analysis as per Audit findings.

Document Name	Version	Created by:	Created Date	Revised Date	Page
PL – 014 Complaints and Appeals Policy	3	PM	11/11/2014	27/01/2015	3