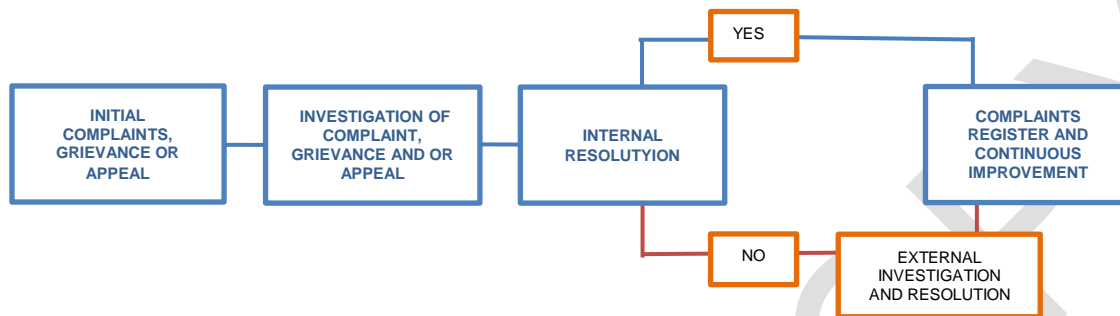


## Complaints, Grievances and Appeals

**Purpose:** This procedure has been developed to ensure that, Excel Training sets out fair conditions under which a learner, employer and or third party may submit a grievance, complaints or appeals both academic and non-academic. This policy and procedure ensure a consistent approach to dealing with complaints, grievances and appeals.



A complaint can be defined as a learners' expression of dissatisfaction regarding any of Excel Trainings services which may include such things as assessment outcomes, the quality of the training, and the way in which learners are treated, the handling of sensitive and private information/ records etc.

Excel Training has developed the Complaints, Grievances and Appeals Policy and Procedure to reassure intending and current learners, employers and personnel that any Complaints, Grievances and Appeals will be taken seriously and handled in a professional, confidential and timely manner.

### Policy Statement

Excel Training acknowledges the right to lodge a complaint where there is dissatisfaction with the training and/ or assessment services which have been provided and will ensure learners have access to fair and equitable processes for expressing this discontent.

To ensure compliance regarding this, we have implemented procedures for collecting and managing the complaints in a constructive and timely manner. All complaints will be handled with fairness in accordance with the principles of natural justice.

The organisation is committed to ensuring that learners and respondents do not experience any victimisation as a result of making a complaint or appeal. Steps will be taken to ensure that no party is disadvantaged or victimised as a result of the complaint being made.

Excel Training will ensure that learners, employers and staff have a clear understanding of the types and steps involved in resolving complaints, grievances and appeals through the induction process, verbally or via the website.

The principles of natural justice and procedural fairness are adopted at every stage of the complaint and appeal process. Excel Training will keep records of all informal and formal discussions conducted under this policy and procedure and their outcomes on the student management system for 5 years. All such records shall be treated as confidential.

### Policy Principles

- In managing complaints, Excel Training will ensure that:-
- The principles of natural justice and procedural fairness are adopted at every stage of the complaint process.
- The complaints policy is publicly available.
- Complaints are treated seriously and dealt with promptly, impartially, sensitively and confidentially.
- Complaints will be resolved on an individual case basis, as they arise.
- All clients have the right to express a concern or problem and/or lodge a complaint if they are dissatisfied with the training and assessment services that they have been provided (including through a third party) or the behavioural conduct of another learner.
- All complaints are acknowledged in writing and finalised as soon as practicable.

- The complaint resolution procedure is based on the understanding that no action will be taken without consulting the complainant and respondent, using a process of discussion, cooperation and conciliation.
- The rights of the complainant and respondent will be acknowledged and protected throughout the complaint resolution process, including the conduct of separate interviews initially.
- In the interest of confidentiality, the number of people involved in the resolution process will be kept to a minimum.
- Final decisions will be made by the CEO and RTO Manager of Excel Training or an independent party to the complaint.
- The complaint resolution procedure emphasises mediation and education while acknowledging that in some instances formal procedures and disciplinary action may be required.
- If the complaints process fails to resolve the complaint or the complainant is not satisfied with the outcome of the complaint, the matter will be referred to an independent third party for review, at the request of the complainant. All costs incurred for the third party review will be advised to the complainant.
- If the complaint will take in excess of 60 calendar days to finalise Excel Training will inform the complainant in writing providing the reasons why more than 60 calendar days are required. The complainant will also be provided with regular updates on the progress of the complaint.
- Victimisation of complainants, respondents or anyone one else involved in the complaint resolution process will not be tolerated.
- All complaints will be handled in confidence and will not affect or bias the progress of the learner in any current or future training.

## Procedure

### Stages of the Grievance, Complaint and Appeal Resolution Process

There are four stages in the processes associated with the resolution of a grievance, complaint or appeal with each stage representing an increase in the level of formality with which the grievance, complaint or appeal is managed. The stages of the process are:

#### Step 1: Investigation of Complaint

Excel Training identifies potential causes of complaints, grievances and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence. We encourage open communication and an environment of trust, urging learners to raise any issues with Excel Training's RTO Manager directly.

A learner, employer and or third party may submit a complaint, grievance or appeal by using the online form and submitting it via [training@excels.com.au](mailto:training@excels.com.au). Alternatively, complainants are able to submit a complaint in writing to the above email or verbally by contacting the RTO Manager directly. Excel Training will investigate the complaint and recommend a resolution.

The RTO Manager will investigate (or oversee the investigation) of the case presented with procedural fairness and may:

- designate any staff member i.e. Administration and Compliance Officer, who has not had prior involvement in the case, to assist with the investigation, or
- Request the student to meet with them in person or via teleconference to discuss the case.

If there is any matter arising from a learner complaint or appeal that is a systemic issue which requires improvement action this will be reported to the RTO Manager and raised at the next RTO Operations Meeting as part of the continuous improvement process.

#### Step 2: Resolution and Feedback

Resolution will be discussed with all relevant parties and feedback will be provided by the RTO Manager to the person submitting the complaint and must be recorded in the Complaints Register and/or Continuous Improvement Log.

Excel Training will encourage the parties to approach a complaint or appeal with an open view and to attempt to resolve problems through discussion and conciliation. Where a complaint or appeal cannot be resolved through discussion and

conciliation, we acknowledge the need for an appropriate external and independent body to review the process implemented (Step 4).

The Administration and Compliance Officer (on behalf of the RTO Manager) will respond to the learner, in writing via email or letter, within 20 working days of receipt of the written complaint, grievance or appeal.

Where Excel Training requires more than 60 calendar days to process and finalise the complaint or appeal, Excel Training will inform the complainant or appellant in writing, including reasons why more than 60 calendar days are required and will regularly update the complainant or appellant on the progress of the matter.

### **Step 3: Appeal**

Learners and employers may appeal a resolution, which will be referred by the RTO Manager to the CEO for further discussion and resolution. Feedback will again be provided to the complainant. Appeals must be recorded in the Excel Training Complaints Register.

Students will be kept informed of the progress of their appeal and outcomes and decisions in relation to the appeal will be communicated to all relevant parties as soon as is practicable. Records will be kept of all appeals in Excel Training's formal recordkeeping system.

### **Step 4: Resolution by an External Party**

Should the matter remain unresolved, learners and employers do have a right to contact the Australian Skills Quality Authority (ASQA), [www.asqa.gov.au/complaints/making-a-complaint.html](http://www.asqa.gov.au/complaints/making-a-complaint.html). Or, the Australian Council for Private Education and Training (ACPET), [www.acpet.edu.au](http://www.acpet.edu.au) or the Training Advocate.