

### 1. Policy Statement

AusQ Training is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (SRTOs 2015). AusQ Training acknowledges the customers' right to lodge a complaint and / or appeal when they are dissatisfied with the training and /or assessment services and experiences that they have been provided by AusQ Training.

AusQ Training will ensure that customers have access to a fair and equitable process for expressing complaints and appeals, and that AusQ Training will manage the complaint in a fair, constructive and timely manner.

This Complaints and Appeals Policy is designed to achieve the following goals:

- To recognise the right of a student and customer to make a complaint or appeal;
- To provide procedures for addressing and resolving customer complaints and appeals in a timely manner, in accordance with principles of natural justice, in a confidential and sensitive manner and with the involvement of all those about whom complaints are made;
- To provide for prompt resolution at the level at which most complaints or appeals are likely to arise while providing for independent mediation and conciliation should the matter not be resolved at the first level;
- To encourage all worker/s to identify and implement improvements where necessary to remove or reduce the possibility of repetition of similar complaint and / or appeal; and
- To focus on continuous quality improvement across all business operations.

#### 1.1 Purpose

The purpose of this Policy is to outline the principles and framework for handling and resolving any grievances including complaints or appeals at AusQ Training and to provide for the review of any decisions (both academic and non-academic) made at AusQ Training.

This Policy sets the expectations for a fair, equitable, transparent and timely complaints handling and appeals process in order to improve the both customer and student experience. This process provides the opportunity for complaints and appeals to be recorded, acknowledged and dealt with in an efficient and effective manner. It ensures all parties involved are kept informed of the resulting actions and outcomes.

The Policy outlines the provision of comprehensive, free and easily accessible information about the process to all students, including the students' right to refer a complaint or appeal to a relevant external agency.

The Policy covers complaints and appeals related to student experience but not limited, including enrolments, assessment, student progress, breaches of academic integrity, bullying, discrimination or harassment, administrative operations, AusQ Training workers or another student.

In doing so, AusQ Training:

- a) has written procedures in place for collecting and managing complaints in a constructive and timely manner;
- b) ensures that these policies and processes are communicated to all workers, third party partners and customers;
- c) ensures that all necessary documentation and resources are in place to enable customers to submit a complaint and / or appeal;
- d) ensures that each complaint and / or appeal and its outcome is recorded in writing; and
- e) ensures that customer complaints and / or appeals and their outcomes are fed into continuous improvement initiatives.

### 1.2 Scope

This policy applies to:

1. All AusQ Training workers
2. All contractors or Third Parties working on behalf of AusQ Training
3. All learners attending training with AusQ Training
4. All of AusQ Training's activities and operations

### 2. Policy

The following principles underpin this policy.

- a) All complaints and appeals will be handled in a way that:
  1. assists in resolving the complaint by assisting the parties to a satisfactory outcome.
  2. is fair, efficient and in accordance with principles of natural justice.
  3. treats complaints and appeals with appropriate seriousness and confidentiality.
  4. facilitates early resolution as close to the source of the problem as possible; and
  5. provides AusQ Training with the means to identify ways of continually improving the services it provides.
- b) AusQ Training will maintain a learner's enrolment while a complaint or appeal process is on-going, however, this does not exclude AusQ Training from reserving the right to suspend a learner from attending class or visiting AusQ Training office or training venues, if that is considered necessary during this period.
- c) The Complaints and Appeals Policy will complement, but not replace, existing AusQ Training policies and procedures for dealing with other forms of grievances, such as assessment appeals, discrimination, harassment, sexual harassment, or criminal acts. Complaints that are found to be outside the domain of this policy will be directed to the appropriate channels.
- d) Complaints and appeals will be resolved on an individual case basis, as they arise.
- e) All complaints are treated with appropriate confidentiality, unless to do so would compromise the organisation's duty of care. Similarly, people who are themselves the subject of a complaint, have the right to expect that any claims made against them are treated confidentially.
- f) While confidentiality can be assured, anonymity cannot. It will be sometimes impossible to guarantee that a complainant will not be identified, particularly if the circumstances of their complaint are unique. Anonymity is not appropriate if formal processes are invoked. When a formal complaint is lodged, the person(s) who is the subject of the complaint will be notified and provided with details of the allegation(s).
- g) In the interest of confidentiality, the number of people involved in the resolution process will be kept to a minimum.
- h) Final decisions will be made by the AusQ Training RTO Manager or an independent party to the complaint.
- i) The complaint resolution procedure emphasises mediation and education while acknowledging that in some instances formal procedures and disciplinary action may be required.
- j) Victimisation of complainants, respondents or anyone else involved in the complaint and appeal resolution process will not be tolerated.
- k) All complaints and appeals will be handled as workers in confidence and will not affect or bias the progress of the customer in any current or future training.
- l) Nothing in this policy and procedure limits the rights of individuals to take action under Australia's Consumer law, where applicable. This policy does not limit an individual's rights to pursue other legal remedies.

#### 2.1 Informal Resolution

- a) The first and foremost response to any complaint or appeal, is for wherever possible to resolve concerns or difficulties directly with the person(s) involved to deal with the issue before it becomes a formal complaint or appeal.

### 2.2 Lodge a Formal Complaint or Appeal

- a) Where a complaint cannot be resolved informally by discussion and mediation, you may lodge a formal complaint or appeal with AusQ Training which will be directed to the RTO Manager or appointed person(s) in their absence.
- b) A formal complaint or appeal may be made in writing to the RTO Manager via either;
  - Complete online Complaints & Appeals Form; or
  - Email to RTO Manager [enrol@ausqtraining.com.au](mailto:enrol@ausqtraining.com.au)
- c) Appeals must be made within (10) business days of the decision that is being appealed was made.

### 2.3 Acknowledgement & Communications

- a) The RTO Manager or appointed person(s) in their absence, will acknowledge the complaint or appeal in writing within three (3) business days of it being received.
- b) The Complaint or Appeal will be entered into our continuous improvement system with all details to commence further investigation and communications.

### 2.4 Investigation & Review

- a) The RTO Manager will investigate the complaint and discuss the nature of the issue with relevant parties and attempt to resolve the problem through discussion and conciliation.
- b) The RTO Manager will investigate the appeal and assign personnel to assess the appeal. They will ensure that these personnel are independent of the original outcome decision.
- c) You may be assisted or accompanied by a support person regardless of the nature of the complaint or appeal.

### 2.5 Outcome

- a) The RTO Manager will then provide you an outcome or update in writing.
- b) Outcome or updates will occur within ten (10) business days of the complaint or appeal being made. It will include information and processes concerning your right to appeal the proposed solution and request for an independent adjudicator.
- c) Should AusQ Training consider more than sixty (60) calendar days are required to process and finalise the complaint or appeal, AusQ Training will:
  - 1. inform you in writing, including reasons why more than 60 calendar days are required; and
  - 2. regularly update you on the progress of the matter.
- d) If an appropriate outcome cannot be reached internally, AusQ Training acknowledges the need for an independent adjudicator to mediate may be required.
- e) The independent adjudicator will be engaged by either AusQ Training or the complainant as required, and associated costs will be communicated prior to the engagement of the independent party.

### 2.6 Appealing an Outcome Decision

- a) You can appeal the outcome of the complaint or appeal if you are unhappy with the decision made. This needs to be made in writing within ten (10) business days of the outcome being communicated to you, following the steps listed above.

### 2.7 Recording of Complaints and Appeals

- a) All formal complaints and appeals will be recorded on AusQ Training continuous improvement register which will record the type of complaint or appeal, the timeliness of response and the nature of the resolution.

## 3. Accountabilities

This policy applies to all AusQ Training workers who are involved in the business operations and delivery of services.

The RTO Manager is responsible for:

- a) Acting as the Complaints & Appeals resolution officer.
- b) Where required may delegate the responsibility for the resolution of the complaint or appeal if necessary such as times of leave absence or not contactable.
- c) Review and managing all Complaints and Appeals received in accordance with this Policy and procedure.
- d) Ensure that details concerning the scope of the Complaints & Appeals Policy are to be clearly displayed throughout the organisation and contained within the Worker Induction Process, Student & Employer Handbook and AusQ Training website.

AusQ Training workers are responsible for;

- a) Notifying the RTO Manager of any complaint or appeal being received, as soon as practicable.
- b) Escalating and prioritising complaints or appeals which may significantly impact reputational risk to the business.
- c) Considering complaints and appeals lodged by students in relation to academic and non-academic matters as set out in this policy and the Complaints and Appeals Procedure.
- d) Ensuring students are provided with information about, and assist them to resolve, complaints and appeals.

#### 4. Review

This policy will be reviewed and evaluated by the Director at least once in every three-year period taking into account the purpose of the policy and the outcome of the compliance review. Review dates will be in accordance to those set by the Document Management System (DMS).

#### 5. Definitions

The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.

- **Assessment Appeal:** A request to review an assessment decision that has been made.
- **Authorised/Appointed Person(s):** A suitable person(s) as authorised and appointed by the Chief Executive Officer or RTO Manager to facilitate the handling of a complaint or appeal. An authorised and appointed person will have this responsibility outlined in the job description or be advised in writing by the Chief Executive Officer.
- **Complainant:** A person making a complaint or lodging an appeal.
- **Complaint:** A person's expression of dissatisfaction with any service provided by AusQ Training or a third party on AusQ Training's behalf.
- **General Appeal:** A request to review a decision about entry into a course, a decision regarding the outcome of a complaint or any other general decision made by AusQ Training.

For other definitions, please refer to Standards for Registered Training Organisations 2015, Appendix 1 – Glossary for definitions.

### 6. Related Documents

- Standards for Registered Training Organisations SRTOs 2015
- Complaints & Appeals Procedure

#### Complaints & Appeals Form

Visit AusQ Training website to submit [online form](#)

Or

You can also request a copy of the Form and submit via;  
Email [enrol@ausqtraining.com.au](mailto:enrol@ausqtraining.com.au)  
Mail 10 Allnut Court, Bunbury WA 6230

Legal Name: The Trustee for AUSQ Unit Trust  
Trading Name: AusQ Training  
RTO Number: 52361  
Established: 2011