

Complaints and Appeals Policy and Procedure

CTS is responsible for the quality of the training and assessment in compliance with the *Standards for Registered Training Organisations (RTO's) 2015*. We value compliments, suggestions and complaints as feedback to maintain and improve the quality of our services.

All complaints or appeals received by CTS will be recorded, acknowledged and dealt with in accordance with the principles of natural justice and procedural fairness. This policy and procedure outline the process undertaken by CTS for managing and responding to complaints or appeals in a timely, fair and transparent manner.

Complaints are allegations made by a student or client that relate to the conduct of an RTO, its staff, a third party offering services on its behalf, or other students in the RTO.

Appeals are requests for a review or reconsideration of decisions made by the RTO. These decisions could involve assessments or access to support services.

Scope

This policy applies to students, members of the public affected by the actions of CTS, staff of CTS and any third parties acting on behalf of CTS.

Policy

CTS provides a policy and procedure for the receiving and managing of complaints or appeals which are publicly accessible, easily understood and embrace the principles of fairness and transparency throughout all stages of the process.

Where reasonably practicable, resolution of complaints and appeals will be resolved in the earliest possible time frame.

All complaints and appeals will be acknowledged in writing within 7 working days of receipt and outline the actions or investigations to be taken.

The complainant or appellant will have the opportunity to discuss their complaint or appeal with CTS's RTO Manager.

All complaints or appeals will be dealt with in a fair, effective and efficient manner. The decision regarding the outcome of any complaint or appeal will be communicated to the complainant or appellant in writing. All complaints and appeals will, where practicable be finalised within 60 days from receipt.

Where we consider more than 60 calendar days are required to process and finalise the complaint or appeal, we will:

- a) inform the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and
- b) regularly update the complainant or appellant on the progress of the matter.

Where a resolution is unable to be achieved, the complainant or appellant may request a review by an independent third party. Any cost associated with involving an independent third party will be disclosed to the complainant or appellant prior to engagement.

Complaints

Complaints are allegations made by a learner or client that relate to the conduct of an RTO, its staff, a third party offering services on its behalf, or other learners in the RTO.

Matters about which complaints may be made include, but are not limited to:

- information provided to clients by CTS;
- delivery of training by CTS;
- behaviour of CTS staff or trainers;
- behaviour of other students;
- assessment methods or processes;
- facilities or premises;
- record keeping;
- training and assessment resources; or
- issuing of qualifications or statements of attainment.

Appeals

Appeals are requests for a review or reconsideration of decisions made by the RTO. These decisions could involve assessments or access to support services.

Appeals typically relate to an assessment decision made by CTS trainers and assessors. Appeals against assessment decisions are considered against the assessment principles of validity, reliability, fairness and flexibility.

Who can make a complaint or appeal?

A **complaint** or **appeal** may be lodged by:

- Any CTS client, including students
- A person representing a student
- CTS staff members
- Industry personnel
- Other members of the community

How Can I Make a Complaint?

COMPLAINT PROCESS

The procedure for making a complaint is described below:

1. Discuss your issue / concern with:
 - The CTS staff member involved, and/or
 - A CTS Training advisor, and/or
 - The CTS Administration Team

If this person is unable to resolve the issue / concern, they may refer you to another CTS staff member who is able to help.

2. If the complaint is not resolved to your satisfaction and you wish to take it further, you should submit your complaint in writing to CTS's RTO Manager. The CTS **Complaints and Appeals Form**, available on the CTS website or from CTS reception, is the preferred method for formally submitting your complaint.

Please contact CTS Administration/Reception if you require assistance to access a copy of this form.

The completed form may be submitted by mail or by hand, and should be marked for the attention of the RTO's Manager "Private and Confidential", or email allison@consolidatedtraining.com.au

3. The complaint will be recorded on the Complaints and Appeals Register.
4. The RTO's Manager will acknowledge the receipt of your complaint in writing within 7 days of receiving it and will begin an investigation. The investigation may include:
 - speaking with you about the complaint or appeal;
 - speaking with the person / people to whom the complaint relates to;
 - speaking with your supervisor or a representative from your organisation (particularly in cases where training provided to you by CTS was funded by your employer);
 - holding a meeting with all parties in an attempt to find a resolution; or
 - Seeking external advice.

The RTO's Manager will ensure that the investigation is fair, effective and efficient, and that those involved are given an opportunity to present their side of the matter.

5. The RTO's Manager will advise you, in writing, of the outcome of the investigation.

Where possible, this will be done within 60 days of receiving the complaint in writing. If additional time is needed, the RTO's Manager will inform you in writing and will provide you with reasons why additional time is needed. The RTO's Manager will also provide you with regular updates on the progress of the investigation.

6. If you are not satisfied with the outcome of the investigation, you may request a review by an independent third party. The request must be made in writing. Any cost associated with involving an independent third party will be disclosed to the complainant prior to engagement. You will be required to pay the full cost of engaging the independent third party.
7. If you are not satisfied with the process followed by CTS or the resolution of the issue, you may refer the matter to our regulator, the Training Accreditation Council (TAC). If you decide you will progress a complaint with TAC, you must complete the complaint form available from the TAC website.

How Can I Make an Appeal?

Appeals Process

The procedure for making an appeal described below:

1. Discuss the appeal with the person involved in making the decision and ask them to explain the reasons.
2. Should you remain dissatisfied with the decision, politely request the person who made the decision to review it.

As part of this process, they may decide to review the information on which their decision was based and discuss their decision with other CTS personnel, including the CTS General Manager or Managing Director/Chief Executive Officer.

A CTS representative, in most cases the person who made the original decision, will advise you of the outcome of the review.

3. If the matter is not resolved to your satisfaction and you wish to take it further, you should submit your appeal in writing to CTS's RTO Manager. The CTS **Complaints and Appeals Form**, available on

the CTS website or from CTS reception, is the preferred method for formally submitting your appeal.

Please contact CTS Administration/Reception if you require assistance to access a copy of this form.

The completed form may be submitted by mail or by hand, and should be marked for the attention of the RTO's Manager "Private and Confidential", or email allison@consolidatedtraining.com.au

4. The complaint will be recorded on the Complaints and Appeals Register.
5. The RTO's Manager will acknowledge the receipt of your appeal in writing within 7 days of receiving it and will begin an investigation. The investigation may include:
 - speaking with you about the decision and giving you the opportunity to formally present your case;
 - discussing the decision with the person who made the decision;
 - Seeking the advice of other CTS personnel (e.g. a trainer assessor, the CTS General Manager or Managing Director/Chief Executive Officer);
 - speaking with your supervisor or a representative from your organisation (particularly in cases where training provided to you by CTS was funded by your employer); or
 - seeking external advice (e.g. from a VET consultant or an independent assessor).

The RTO's Manager will ensure that the investigation is fair, effective and efficient.

6. The RTO's Manager will advise you, in writing, of the outcome of the investigation.

Where possible, this will be done within 60 days of receiving the appeal in writing. If additional time is needed, the RTO's Manager will inform you in writing and will provide you with reasons why additional time is needed. The RTO's Manager will also provide you with regular updates on the progress of the investigation.

7. If you are not satisfied with the outcome of the investigation and you wish to take it further, you may request the RTO's Manager to arrange for an independent assessor to become involved. The request must be made in writing.

The RTO's Manager will then contact an independent assessor and request a quotation for their services and will provide the associated cost to you in writing.

If you wish to proceed with independent assessment, you must advise the RTO's Manager in writing, and you will need to pay the independent assessment costs.

8. If you are not satisfied with the process followed by CTS or the resolution of the issue, you may refer the matter to our regulator, the Training Accreditation Council (TAC). If you decide you will progress an appeal with TAC, you must complete the complaint form available from the TAC website.

All records of complaints and appeals, including all steps taken and correspondence/recordings entered, will be kept on file and entered into the applicable Complaints or Appeals Register.