

## COMPLAINTS PROCEDURE

**RELEVANT STANDARD(S):** *Standards for Registered Training Organisations (RTOs) 2015* Standard 4 and 5; Schedule 4 “Conditions of Use of NRT Logo”

### Purpose

This process serves as the guide and reference document for the complaints handling of **Trade Skills Australia**. Changes to this procedure must only be made upon approval of the **OPERATIONS MANAGER**.

### Role undertaking task

Assessment team, Operations Manager, Compliance Manager

STEP 1 – Initial Review of Complaint		
No.	Who	Actions
1.1	Candidate	a. Raises the concern with <b>Trade Skills Australia</b> , all communication to be recorded in student file in SMS.
1.2	Staff	b. Attempt to resolve the complaint immediately. c. If the matter is successfully resolved, identify if there are areas of improvement and log any identified improvement opportunity in the Continuous Improvement Register d. If the matter is not resolved, advise candidate of their right to make a formal complaint in writing, refer them to <b>Trade Skills Australia’s Complaints and Appeals Policy</b> in the Candidate Handbook e. Provide Candidate with access to the <b>Complaints Lodgement Form</b>
STEP 2 – Lodgement of Complaint		
No.	Who	Actions
2.1	Candidate	a. Lodge a complaint in writing using the Complaints Lodgement Form as soon as possible b. Candidate will receive an email confirming a complaint was received and that <b>Trade Skills Australia</b> staff will be in touch once the form is lodged.
2.2	Compliance Manager	c. Once complaint is lodged, Compliance Manager will receive an email notifying a complaint was lodged. d. Update the candidate record in the SMS by creating a note and nature of complaint

2.3	<b>Compliance Manager</b>	<p>e. Once a complaint is lodged the <b>Compliance Manager</b> will receive an email notifying that a complaint was lodged</p> <p>f. Conduct a participative review of the complaints lodged</p> <p>g. If needed, assign stakeholder(s) / <b>Trade Skills Australia</b> staff independent to the complaint to resolve matters within timeframes.</p>
<b>STEP 3 – Processing the Complaint</b>		
No.	Who	Actions
3.1	<b>Compliance Manager/Operations Manager/Assigned staff</b>	<p>a. Aim to resolve the complaint as quickly as possible and within 30 days from the time action item was assigned or within timeframe specified by the Consumer Protection Officer. Actions which may be taken may include but are not limited to:</p> <ul style="list-style-type: none"> <li>i. Discussing the facts of the complaint with the complainant.</li> <li>ii. Where appropriate and applicable, discuss the complaint with the respondent giving details of the complaint and complainant, giving cause to procedural fairness.</li> <li>iii. Where appropriate and applicable, encourage and facilitate the disputants to engage in mediation on an informal level.</li> <li>iv. Interview all parties individually, including any witnesses</li> <li>v. Conduct interviews privately and confidentially</li> <li>vi. Where applicable, report the outcome of the meeting with the respondent to the complainant.</li> </ul> <p>b. Seek preferred outcome from each of the parties.</p> <p>c. Communicate with the candidate every time actions are taken and decisions once complaint has been resolved.</p>
<b>STEP 4 –Finalising the Complaint</b>		
4.1	<b>Compliance Manager/Assigned staff</b>	<p>a. Record all communication and documents related to the resolution actions in the <b>Complaints and Appeals Register</b>.</p> <p>b. Candidate record to be updated in the SMS</p> <p>c. Lodge continuous improvement opportunities in the <b>Continuous Improvement Register</b>.</p>
4.2	<b>Admin Staff</b>	<p>d. Update the candidate record in the candidate management system with complaint resolution outcome.</p> <p>e. Place all documentation from complaint file onto candidate file.</p>

4.3	<b>Compliance Manager/ Managers</b>	<p>f. Monitor the learning environment to ensure that the behaviour/incident does not re-occur.</p> <p>g. Discuss complaints, action items and communications during Management Meeting or Continuous Improvement Meetings.</p>
<b>STEP 5 – Referral to External Arbitrator</b>		
5.1	<b>Compliance Manager</b>	<p>a. Contact and engage the External Arbitrator for a review of the complaint, providing all relevant documentation.</p> <p>b. Cooperate with External Arbitrator for a review of the complaint.</p>
5.2	<b>External Arbitrator</b>	<p>c. Review, investigate and mediate the complaint with all relevant parties and make a ruling.</p> <p>d. Prepare a formal written report on the investigation, providing a copy to both the Operations Manager of <b>Trade Skills Australia</b> and complainant.</p> <p>e. <b>Trade Skills Australia</b> will abide by any resolutions as recommended by the External Arbitrator.</p>
5.3	<b>Operations Manager</b>	<p>f. If the complaint is upheld, abide to the resolution decided on and proceed to step 4.1.</p> <p>g. If not upheld, inform candidate in writing that the original decision is to stand and proceed to step 4.1</p>

**VERSION CONTROL**

Version Control Table			
Date	Summary of Modifications	Modified By	Version
12/02/2020	Document Creation	360RTO	v. 1.0
15/09/2020	Document Update	360RTO	v.1.1
28/02/2023	Document review and update	Compliance Manager	V2.0