



Trading as Height Safety Engineers and Firefect (RTO No. 91227)

Complaints & Appeals Policy

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Comply with	Clause 6, 6.1, 6.2, 6.3, 6.4 & 6.5 of RTO Standards 2015
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Department(s) Responsible	Operations & Compliance
Responsible Person(s) to monitor & interpret	National Training Operations Manager, RTO Compliance Manager and Managing Director

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Complaints & Appeals Policy

1. Policy Objective

Elbon Consulting Services Pty Ltd is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (SRTOs 2015). As such, Elbon Consulting Services Pty Ltd is required to have a policy and process in place to manage and respond to appeals, complaints and allegations involving assessment outcomes, conduct of staff, learners and third party training and assessment providers who provide services on behalf of Elbon Consulting Services Pty Ltd.

This policy is based on providing and maintaining training and assessment services that are fair and reasonable and afford a forum where assessment outcome appeals, issues or inadequacies can be raised and resolved. This process provides opportunity for complaints to be recorded, acknowledged and dealt with in a fair, efficient and effective manner.

The object of this policy is to ensure that Elbon Consulting Services Pty Ltd staff act in a professional manner at all times. This policy provides clients with a clear process to register a complaint or appeal. It ensures all parties involved are kept informed of the resulting actions and outcomes.

2. Responsibility

The Managing Director in consultation with the National Training Operations Manager is responsible for the implementation of this policy and to ensure that staff are aware of its application and implement its requirements.

The RTO Compliance Manager is responsible for the management of compliance with the processes and policies identified herein.

The RTO Administration staff are responsible for the management and recording of complaints in the Student Management System and Complaint Register.

3. Policy Statement

Elbon Consulting Services Pty Ltd acknowledges the clients' right to lodge a complaint or appeal when they are dissatisfied with the training and/or assessment services and experiences that they have been provided by Elbon Consulting Services Pty Ltd.

Elbon Consulting Services Pty Ltd will ensure that clients have access to a fair and equitable process for expressing complaints or appeals, that Elbon Consulting Services Pty Ltd will manage the complaint or appeal with fairness and equity.

In doing so, Elbon Consulting Services Pty Ltd:

- Has written procedures in place for collecting and managing complaints or appeals in a constructive and timely manner;
- Ensures that these procedures are communicated to all staff, third party partners and clients;

- Ensures that all necessary documentation and resources are in place to enable clients to submit a compliant or appeal;
- Ensures that each complaint or appeal and its outcome is recorded in writing; and
- Ensures that customer complaints or appeals and their outcomes are fed into continuous improvement initiatives.

4. Definitions

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

Third party means any party that provides services on behalf of the RTO but does not include a contract of employment between an RTO and its employee.

5. Policy Principles

5.1 Principles

In managing complaint and appeals, Elbon Consulting Services Pty Ltd will ensure that:

- The principles of natural justice and procedural fairness are adopted at every stage of the complaints and appeals process.
- The complaints and appeals policy is publicly available.
- There is a procedure for making a complaint or appeal.
- Complaints or appeals are treated seriously and dealt with promptly, impartially, sensitively and confidentially.
- Complaints or appeals 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 or appeal if they are dissatisfied with the training and assessment services that have been provided (including through a third party) or the behavioural conduct of another learner.
- All complaints or appeals are acknowledged in writing within fourteen (14) days of being received and finalised as soon as practicable.
- The complaint and appeal resolution procedure is based on the understanding that no action will be taken without consulting the complainant/appellant and respondent, using a process of discussion, cooperation and conciliation.
- The rights of the complainant/appellant 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 kept to a minimum.
- Final decisions will be made by the National Training Operations Manager, Elbon Consulting Services Pty Ltd, or an independent party to the complaint/appeal.
- Should a complaint/appeal decision be appealed further, the complaint/appeal will be reviewed by the RTO Compliance Manager and Director, Elbon Consulting Services Pty Ltd.
- The complaint and appeal resolution procedure emphasises mediation and education while acknowledging that in some instances formal procedures and disciplinary action may be required.
- If the complaints and appeals process fails to resolve the complaint/appeal or the complainant/appellant is not satisfied with the outcome of the complaint or appeal the matter may 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/appellant.

- o) If the complaint or appeal will take in excess of 60 calendar days to finalise Elbon Consulting Services Pty Ltd will inform the complainant/appellant in writing providing the reasons why more than 60 calendar days are required. The complainant/appellant will also be provided with regular updates on the progress of the complaint/appeal.
- p) Victimisation of complainant/appellants, respondents or anyone else involved in the complaint/appeal resolution process will not be tolerated.
- q) All complaints and appeals will be handled as Staff-in-confidence and will not affect or bias the progress of the client in any current or future training.

5.2 Types of Complaints & Appeals

A complaint or appeal may include allegations involving the conduct of:

- a) Elbon Consulting Services Pty Ltd, its trainers, assessors or other staff; or
- b) A third party providing services on behalf of Elbon Consulting Services Pty Ltd, its trainers, assessors or other staff; or
- c) A learner of Elbon Consulting Services Pty Ltd; or
- d) An assessment outcome decision made by Elbon Consulting Services Pty Ltd.

6. Elbon Consulting Services Pty Ltd Responsibilities

The National Training Operations Manager, Elbon Consulting Services Pty Ltd is the Complaints and Appeals Resolution Officer. The National Training Operations Manager may delegate responsibility for the resolution of the complaint or appeal if necessary.

Details concerning the scope of the Complaints and Appeals Policy are to be clearly displayed throughout the organisation and contained within the Staff Induction Process, Client Handbook and Elbon Consulting Services Pty Ltd websites.

7. Process

7.1 Complaints

If a client has a complaint or appeal, they are encouraged to speak immediately with the trainer/assessor to resolve the issue. If the complainant/appellant is not satisfied that the issue has been resolved they will be asked to complete a Complaints Form, to lodge a formal complaint or appeal. Elbon Consulting Services Pty Ltd will then investigate the complaint/appeal and advise the complainant/appellant of the outcome.

If the complainant/appellant is not satisfied with the outcome they may write to the RTO Compliance Manager, setting out in detail the issue of concern. This may lead to occasions where an industry-training representative may be invited to act as an objective party in order to negotiate a satisfactory resolution.

7.2 Complaints Process

All complaints and appeals shall follow the below process:

- a) Complaints are to be made in writing within seven (7) calendar days of the incident using the Complaint Form, which is available on the Elbon Consulting Services Pty Ltd websites or from the below contact person between 9:00am to 5:00pm, Monday to Friday:
RTO Compliance Manager
1300 884 978
- b) Appeals are to be made in writing within six (6) months of assessment decision using the Appeals and Complaint Form, which is available on the Elbon Consulting Services Pty Ltd websites or from the below contact person between 9:00am to 5:00pm, Monday to Friday:
RTO Compliance Manager
1300 884 978
- c) A submitted Appeals and Complaints Form will constitute a formal complaint or appeal from the client. Further detail of the complaint can be provided by the client verbally.
- d) The National Training Operations Manager, Elbon Consulting Services Pty Ltd must be informed of the receipt of all complaints and appeals immediately.
- e) The National Training Operations Manager, Elbon Consulting Services Pty Ltd may delegate responsibility for the resolution of the complaint.
- f) In the case of a complaint or appeal the National Training Operations Manager, Elbon Consulting Services Pty Ltd will initiate a transparent, participative investigation to identify the issues.
- g) Complaints and appeals will be processed in accordance with the Complaints and Appeals flowchart – Annex A.
- h) Complaints and appeals, where possible, are to be resolved within fourteen (14) calendar days of the initial application.
- i) In all cases the final conclusion will be assessed by the National Training Operations Manager, Elbon Consulting Services Pty Ltd.
- j) The Client will be advised in writing of the outcome of their complaint or appeal, within seven (7) days of resolution.
- k) If the outcome is not to the satisfaction of the Client, they may seek an appointment with the RTO Compliance Manager, Elbon Consulting Services Pty Ltd.
- l) If the Client is not satisfied with the decision they have the option to seek outside assistance to pursue the complaint or appeal further.

8. Access and Equity

The Elbon Consulting Services Pty Ltd Access & Equity Policy applies. (See Access & Equity Policy)

9. Records Management

Records of all complaints and appeals and their outcomes are maintained securely.

Records of complaints and appeals include:

File name and location:	\\nas01\RTO\Policies & Procedures
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Document Owner:	RTO Compliance Manager
Approved By:	National Training Operations Manager

- a) How the complaint was dealt with;
- b) The outcome of the complaint;
- c) The timeframes for resolution of the complaint;
- d) The potential causes of the complaint; and
- e) The steps taken to resolve the complaint or appeal.

All documentation from Complaints and Appeals are maintained in accordance with the Records Management Policy. (See Records Management Policy)

10. Monitoring and Improvement

All complaints and appeals processes are monitored by the National Training Operations Manager and Director, Elbon Consulting Services Pty Ltd and will be discussed at Management Review Meetings with areas for improvement identified and acted upon. (See Continuous Improvement Policy)

11. Revision History

Revision No.	Date	Modifications
1.0	April 2017	Original
2.0	May 2018	Format and document template update. Update contact people and timeframes to acknowledge and respond. Update to Procedure Workflow.

ANNEX A. Complaints Process Workflow

