COMPLAINTS AND APPEALS PROCEDURE

RELEVANT STANDARD(S):

Standards for Registered Training Organisations (RTOs) 2015	***Standard 6 | Chapter 3 – Support and progression*** ▪ *Clause 6.1-6.5*

Complaints and Appeals Procedure	
PURPOSE	This process serves as the guide and reference document for the Complaints and Appeals handling of Prosper Training. Changes to this procedure must only be made upon the approval of the Training Manager or CEO.
ROLE UNDERTAKING TASK	Admissions Team / Training Team
DOCUMENT UPDATE	28/08/2021

Complaints Handling Procedure

No.	Person/s Responsible	Steps to take
1	Complainant	(1) Prior to lodging a formal complaint, complainants are encouraged to attempt informal resolution with relevant individuals: a. Privately between concerned parties b. With the help of trainer/assessor or training manager (2) Where dispute cannot be resolved informally, lodge a formal complaint using the Complaints Lodgement Form. The Complaints Lodgement Form is available: a. Via the website b. Student Handbook (appendix) c. Requested from any RTO staff (trainer / assessor / admin) (3) Complete the **Complaints Lodgement Form**
2	Student Support Services	Receiving a complaint (1) Upon receiving the Complaints Lodgement Form response, reply to the complainant via email and acknowledge the receipt of the complaint and provide complaint processing timeframes (2) Update the Complaints Register with relevant information (3) Forward the complaint to the relevant personnel a. If the complaint is about another student, forward the complaint to the trainer/assessor b. If the complaint is about a trainer/assessor, forward the complaint to the Training Manager/General Manager/CEO.

		c. If the complaint is about Prosper Training, forward the complaint to the Training Manager/General Manager/CEO.
3	Person Responsible (Training Manager / CEO)	Processing a formal complaint (1) 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: a. Discussing the facts of the complaint with the complainant. b. Where appropriate and applicable, discuss the complaint with the respondent giving details of the complaint and complainant, giving cause to procedural fairness. c. Where appropriate and applicable, encourage and facilitate the disputants to engage in mediation on an informal level. d. Interview all parties individually, including any witnesses e. Conduct interviews privately and confidentially f. Where applicable, report the outcome of the meeting with the respondent to the complainant. g. Seek preferred outcome from each of the parties. h. Communicate with the student every time actions are taken and decisions once complaint has been resolved. i. Where appropriate, facilitate a dispute resolution meeting with parties involved (2) Where the parties cannot agree on a suitable resolution, provide the resolution you find most suitable and fair for all parties involved. Inform parties that they have the option to engage a third party / external arbitrator for a review of the complaints process (i.e. Training Ombudsman, Office of Fair Trading, Magistrate / Tribunal etc.). The complainant may recommend any Independent third party / external arbitrator to may facilitate review. Where fees apply, this will be shouldered by the complainant. (3) Once resolution is finalised, document the details in an email sent to both parties as soon as resolution is reached. Send email with subject heading: 'Complaint Resolution'. Copy Admin in the email.
4	Student Support Services	Closing a Complaint (1) Upon receiving the 'Complaint Resolution' email, update the log in the Complaints and Appeals Register. (2) Where additional action items are required as a result of the complaint, implement action items and lodge the action items in the Continuous Improvement Register. Tag the action item as resulting from the Complaints and Appeals Process. (3) All fields MUST be completed. If additional information is required to fill out the Complaints and Appeals Register or the Continuous Improvement Register, follow-up with the Person Responsible (**Trainer/ Training Manager/ General Manager/ CEO**). See Continuous Improvement Policy for more details

		(4) Change status on the Complaints and Appeals Register as 'closed' and file the document with the student's records.

Appeals Handling Procedure

No.	Person/s Responsible	Steps to take
1	Appellant	(1) Prior to lodging a formal appeal, appellants are encouraged to attempt informal resolution with relevant individuals: a. Privately between concerned parties b. With the help of trainer/assessor or training manager (2) Where appeal cannot be resolved informally, lodge a formal Appeal using the Appeals Lodgement Form. The Appeals Lodgement Form is available: a. Via the website b. Student Handbook (appendix) c. Requested from any RTO staff (trainer / assessor / admin) (3) Complete the **Appeals Lodgement Form**
2	Student Support Services	Receiving an appeal (1) Upon receiving the Appeals Lodgement Form response, reply to the complainant via email and acknowledge the receipt of the complaint and provide complaint processing timeframes (2) Update the Appeals Register with relevant information (3) Forward the appeal to the relevant personnel a. If the appeal is about the outcome of an assessment, forward the complaint to the trainer/assessor b. If the appeal is about the outcome of a complaint process, forward the complaint to the CEO. c. If the appeal is about the other decisions made by the RTO, forward the complaint to the Training Manager/General Manager/CEO.
3	Person Responsible (Training Manager / CEO)	Processing an appeal (1) Aim to resolve the appeal 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: a. Discussing the facts of the appeal with the appellant b. Reviewing all assessment documentation and process c. Conducting re-assessment d. Where appropriate and applicable, encourage and facilitate the disputants to engage in mediation on an informal level. e. Interview all parties individually, including any witnesses

		f. Conduct interviews privately and confidentially g. Where applicable, report the outcome of the meeting with the respondent to the complainant. h. Seek preferred outcome from each of the parties. i. Communicate with the student every time actions are taken and decisions once complaint has been resolved. j. Where appropriate, facilitate a dispute resolution meeting with parties involved (2) Where the parties cannot agree on a suitable resolution, provide the resolution you find most suitable and fair for all parties involved. Inform parties that they have the option to engage a third party / external arbitrator for a review of the appeals process (i.e. Training Ombudsman, Office of Fair Trading, Magistrate / Tribunal etc.). The appellant may recommend any Independent third party / external arbitrator to may facilitate review. Where fees apply, this will be shouldered by the appellant. (3) Once resolution is finalised, document the details in an email sent to both parties as soon as resolution is reached. Send email with subject heading: 'Appeal Resolution'. Copy Admin in the email.
4	Student Support Services	Closing an appeal (1) Upon receiving the 'Appeal Resolution' email, update the log in the Complaints and Appeals Register. (2) Where additional action items are required as a result of the complaint, implement action items and lodge the action items in the Continuous Improvement Register. Tag the action item as resulting from the Complaints and Appeals Process. (3) All fields MUST be completed. If additional information is required to fill out the Complaints and Appeals Register or the Continuous Improvement Register, follow-up with the Person Responsible (**Trainer/ Training Manager/ General Manager/ CEO**). See Continuous Improvement Policy for more details (4) Change status on the Complaints and Appeals Register as 'closed' and file the document with the student's records.

VERSION CONTROL

Version Control Table					
Date	**Summary of Modifications**	**Modified by**	**Version**	**Date of Implementation**	**Next Review Date**
28/08/2021	Document creation	360RTO Solutions	v. 1.0	30/12/2022	30/12/2023

RTO INFORMATION	
Document Name	Complaints and Appeals Procedure v1.0
RTO/Company Name	Prosper Training
RTO Code	45951
Manager	Training Manager