

<h1>Complaints and Appeals Policy</h1>		Alana Kaye Policy Manual Policy Number: AKP0039 Responsible Officer: CEO Date of Issue: May 2011 Review Date: December 2020 RTO Code: 70056 CRICOS Code: 03675K	
Modifications:	V3.1 updated to include CRICOS Code V3 – Updated to incorporate Branch Manager and complaints process for CRICOS – March 2017 V2 - Updated to reflect 2015 Standards for RTOs.		
Associated Documents:	Complaints and Appeals Reporting and Action Form, Complaints and Appeals Procedure, Complaints and Appeals Register, Student Handbook – complaints and appeals		
Authorised by:	Issued to: All staff	Pages: 3	Version: 3.1

Requirement - Extract from Standards for Registered Training Organisations 2015.

Standard 2. The operations of Alana Kaye are quality assured.

Alana Kaye systematically evaluates and uses the outcomes of the evaluations to continually improve Alana Kaye’s training and assessment strategies and practices. Evaluation information includes but is not limited to quality/performance indicator, validation outcomes, client, trainer and assessor feedback and complaints and appeals.

Standard 5. Each learner is properly informed and protected.

Prior to enrolment or the commencement of training and assessment, whichever comes first, Alana Kaye provides, in print or through referral to an electronic copy, current and accurate information that enables the learner to make informed decisions about undertaking training with Alana Kaye and at a minimum includes the following content:

- d) the learner’s rights, including:
 - i) details of Alana Kaye’s complaints and appeals process required by Standard 6;

Standard 6. Complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively.

Subject to Clause 6.6, to be compliant Alana Kaye must meet the following:

6.1 Alana Kaye has a complaints policy to manage and respond to allegations involving the conduct of:

- a) Alana Kaye, its trainers, assessors or other staff;
- b) a third party providing services on Alana Kaye’s behalf, its trainers, assessors or other staff; or
- c) a learner of Alana Kaye.

6.2 Alana Kaye has an appeals policy to manage requests for a review of decisions, including assessment decisions, made by Alana Kaye or a third party providing services on Alana Kaye’s behalf.

6.3 Alana Kaye’s complaints policy and appeals policy:

- a) ensure the principles of natural justice and procedural fairness are adopted at every stage of the complaint and appeal process;
- b) are publicly available;
- c) set out the procedure for making a complaint or requesting an appeal;
- d) ensure complaints and requests for an appeal are acknowledged in writing and finalised as soon as practicable; and

- e) provide for review by an appropriate party independent of Alana Kaye and the complainant or appellant, at the request of the individual making the complaint or appeal, if the processes fail to resolve the complaint or appeal.

6.4 Where Alana Kaye considers more than 60 calendar days are required to process and finalise the complaint or appeal, Alana Kaye:

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

6.5 Alana Kaye:

- a) securely maintains records of all complaints and appeals and their outcomes; and
- b) identifies potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.

Requirement – Extract from National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Students 2007, Standard 8 – Complaints and appeals.

Registered providers' complaints and appeals processes are independent, easily and immediately accessible and inexpensive for the parties involved. To be compliant Alana Kaye must:

- 8.1 have an appropriate internal complaints handling and appeals process that satisfies the following requirements, or can use its existing internal complaints and appeals processes as long as it meets these requirements:
 - a) a process is in place for lodging a formal complaint or appeal if the matter cannot be resolved informally, which requires a written record of the complaint or appeal to be kept
 - b) each complainant or appellant has an opportunity to formally present his or her case at minimal or no cost to him or herself
 - c) each party may be accompanied and assisted by a support person at any relevant meetings
 - d) the complainant or appellant is given a written statement of the outcome, including details of the reasons for the outcome, and
 - e) the process commences within 10 working days of the formal lodgment of the complaint or appeal and supporting information and all reasonable measures are taken to finalise the process as soon as practicable.
- 8.2 have arrangements in place for a person or body independent of and external to the registered provider to hear complaints or appeals arising from the registered provider's internal complaints and appeals process or refer students to an existing body where that body is appropriate for the complaint or appeal.
- 8.3 If the student is not satisfied with the result or conduct of the internal complaint handling and appeals process, the registered provider must advise the student of his or her right to access the external appeals process at minimal or no cost.
- 8.4 If the student chooses to access the registered provider's complaints and appeals processes as per this standard, the registered provider must maintain the student's enrolment while the complaints and appeals process is ongoing.
- 8.5 If the internal or any external complaint handling or appeal process results in a decision that supports the student, the registered provider must immediately implement any decision and/or corrective and preventative action required and advise the student of the outcome.

Purpose

The purpose of this Policy is to:

- Ensure all students are fully informed about Alana Kaye's complaints and appeals processes and external complaint processes.
- Ensure that all complaints and appeals are recorded, acknowledged and dealt with fairly, efficiently and effectively.
- Ensure that all students are fully informed about the outcome and reasons for the outcome.
- Ensure that Alana Kaye evaluates complaints and appeals and continually improve its training and assessment strategies and practices
- Ensure that the Alana Kaye Group environment is harmonious and free from intimidation, harassment and other unfair treatment;
- Promote clear, honest and open communication;
- Provide a timely and effective mechanism for staff, students and others to express their concerns or make complaints when they occur so that options for a resolution can be identified as soon as possible;
- Define what complaints can be handled under this policy;
- Ensure concerns and complaints are handled impartially, justly, confidentially and with the appropriate sensitivity;
- Define the responsibilities of those involved in resolving concerns and complaints.

Definition of a complaint

A complaint is an expression of concern, dissatisfaction or frustration with the quality or delivery of service, a policy or procedure, or the conduct of another person.

There is an underlying assumption that complaints are made in good faith (and with good will) and with an intention for resolution.

Responsibilities

The CEO and Branch Managers are responsible for:

- providing leadership in demonstrating a commitment to the resolution of complaints made to Alana Kaye;
- ensuring there is an effective, timely, impartial, and just system for dealing with complaints;
- making final decisions relating to complaints within the AK process.
- Review and monitor the complaints register to ensure all complaints are managed in a timely manner and to identify any patterns of complaints.

Complaints handling process

Complaints will be handled fairly and justly and in a consistent manner, and with the understanding that complainants should not be disadvantaged by the complaint process.

Complaints against staff will be directed to the relevant Manager and all correspondence and assessments will be confidential.

Customers will be kept informed of the progress of their complaint and of the final resolution. Complainants will be advised of avenues for further review of their complaint, if not satisfied with the resolution.

There is an underlying assumption that complaints are made in good faith (and with good will) and with an intention for resolution.

All students will be fully informed of the complaints handling process through the website, enrolment process and student handbook.

Further information is contained in the Procedure: Complaints and Appeals.

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Approved by	Alana Anderson	Date: 9 March 2017
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Entered in policy register	Rachael Trbovic	Date: 9 March 2017