

## Purpose

The purpose of this procedure is to ensure that when learners or clients (past or present) lodge a complaint, that they are acknowledged and addressed in a fair, equitable, confidential and timely manner.

## Scope

The complaints procedure covers the process to be used to identify, assess and resolve issues associated with all aspects of services offered by Transqual, its employees, contractors or partners. The complaints procedure will outline how to manage all complaints and ensure that complaints reach a satisfactory outcome for all parties within 60 calendar days; and that any improvements raised during the process, are assessed and if required implemented in order to prevent any future issues for other learners or clients.

## Responsibility

### *National Managers:*

- The National Managers at Transqual, have the following responsibilities:
  - Ensure a regular review of this procedure is completed annually
  - Ensure all Operations Managers are applying the Complaints Procedure as prescribed in this procedure
  - Hold all staff responsible and accountable for their part of the complaints process
  - Institute disciplinary procedures against those who fail to comply
  - Ensures all complaints are closed out with an equitable outcome and in a timely manner
  - Ensure the *Complaints, Appeals and Non-Conformance Register* is maintained and up to date

### *Operation Managers:*

- The Operations Managers will be responsible and accountable for the following:
  - Implementing this procedure for the management of all complaints
  - Follow up on the complaint within 5 days or nominate a nominee to follow up on the complaint
  - Ensure National Office is informed of any complaints
  - Complete a regular review of all evaluation forms for assessment
  - Participate in the resolution of the complaint; where possible
  - Communicates the results of resolutions to all concerned parties
  - Formally closes out all corrective actions in a timely and efficient manner
  - Updates National Office of the outcomes and corrective actions

### *Employees, Trainers, Contractors and Partners:*

- Employees, Trainers, Contractors and Partners, will be responsible and accountable for the following:
  - Participating in the investigation and assessment of the complaint
  - Implementing any corrective actions (where applicable)
  - Providing feedback where appropriate upon the effectiveness of the resolutions

## Definitions

Complaint: A complaint is an action taken by a learner or client in relation to an issue or dissatisfaction with any aspect of Transqual's services or operations (other than a result of an assessment).

Complainant: A complainant is the person in which formally made the complaint. This person can be a learner, trainee, or client.

## Procedure

### 1. Receiving a complaint from a learner or client

1.1 If a learner or client communicates a complaint you then pass them directly to the Operations Manager (unless the complaint is about the Operations Manager in which it will be forwarded on to the National Operations Manager/Consumer Protection Officer).

1.2 If a learner or client communicates a complaint you (Operations Manager or National Operations Manager etc) must discuss the following with complainant:

- Explain the complaints process to complainant, including who will need to be involved (pending on the matter) and how the issue will be dealt with. Reassure them of their rights to privacy etc as outlined in the *Complaints and Appeals Policy*.
- If the issue is in relation to a Transqual Staff member, contractors or Partner, then encourage the complainant to speak with person involved before lodging a formal complaint (If complainant has already done this, or does not wish to do so, continue with this process).
- If the complainant says that they will discuss the issue with the person involved first, check back with them within 5 working days to see how they have progressed and if they were satisfied with the outcome
- If complainant agrees that they would like to make a formal complaint send them the *Complaints or Appeals Form*

### 2. Receipt of *Complaints or Appeal Form*

2.1 Within 1 business day of the receipt of the *Complaints or Appeal Form*, the Operations Manager will assess the complaint and either investigate the complaint themselves, or will forward the complaint to the most appropriate person who will be known as the 'Nominee'.

- The Nominee can include, but is not limited to the following staff members, depending on issue of the complaint:
  - Chief Operations Officer
  - National Operations Manager
  - Consumer Protection Officer
  - National Compliance Manager
  - HR and Quality Manager
  - Partnership Manager

2.2 The Operations Manager/Nominee acknowledges the receipt of Complaints or Appeals Form in writing within 10 business days

### 3. Investigating and resolving a complaint from a client/student/trainee

- 3.1 The Operations Manager or Nominee will investigate the complaint by gathering information from the parties involved and document the information found on the corresponding *Complaints or Appeals Form*.
- 3.2 The entire process must be finalised within 60 days. If the Operations Manager/Nominee requires more than 60 calendar days to resolve the Complaint, they must contact the complainant in writing outlining the reasons for extending the complaints process. As well as contacting the complainant regularly to inform of all progress and updates in writing until the complaint is resolved.
- 3.3 The Operations Manager/Nominee will review the information gathered from all parties involved), and decide on a resolution.
- 3.4 The outcome will be recorded on the *Complaints or Appeals Form* (if the agreement occurs move straight to point 5).

### 4. Appealing the Resolution

- 4.1 If the resolution is not agreed to, the issue will be documented on the *Complaints or Appeals Form* and will be presented to the Chief Operations Manager or Chief Executive Officer. These Managers will:
  - Discuss with complainant as to why the issue could not be resolved
  - Present their resolution to the issue in writing to complainant
  - If the resolution is accepted move to point 5
- 4.2 If this does not resolve the issue, the complainant will have an independent third party (the Third Party can be nominated at the discretion of the complainant). The third party will review all information and present a resolution in order to make a final decision regarding the issue. Below is a list of Third Party representatives:

Australian Skills Quality Authority	Website: <a href="http://www.asqa.com.au">www.asqa.com.au</a> Phone: 1300 701 801
Australian Government Dept of Industry and Science	Website: <a href="http://industry.gov.au/skills/nationaltrainingcomplaintshotline/Pages/default.aspx">http://industry.gov.au/skills/nationaltrainingcomplaintshotline/Pages/default.aspx</a>
ACT – Education and Training Directorate	Website: <a href="http://www.det.act.gov.au/training/making-a-complaint-australian-apprentice-and-employer">http://www.det.act.gov.au/training/making-a-complaint-australian-apprentice-and-employer</a>
NSW – Vocational Training Tribunal and Communities	Website: <a href="http://www.training.nsw.gov.au">www.training.nsw.gov.au</a>
NT – Department of Education	Website: <a href="http://www.education.nt.gov.au/about-us/policies/documents/general/complaints">http://www.education.nt.gov.au/about-us/policies/documents/general/complaints</a>
QLD – Department of Education and Training	Website: <a href="http://www.training.qld.gov.au/training-careers/courses/student-guide/student-complaints.html">http://www.training.qld.gov.au/training-careers/courses/student-guide/student-complaints.html</a>
SA – Government of South Australia	Website: <a href="http://www.skills.sa.gov.au/training-learning/assistance-and-support/problems-with-your-training">http://www.skills.sa.gov.au/training-learning/assistance-and-support/problems-with-your-training</a>
TAS – Skills Tasmania	Email <a href="mailto:complaints@skills.tas.gov.au">complaints@skills.tas.gov.au</a> Website: <a href="http://www.skills.tas.gov.au">www.skills.tas.gov.au</a>
WA – Training Accreditation Council	Website: <a href="http://www.tac.wa.gov.au/students/Pages/Complaints-against-RTOs.aspx">http://www.tac.wa.gov.au/students/Pages/Complaints-against-RTOs.aspx</a>

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- This decision will be discussed with, and presented to complainant in writing
- 4.3 If at this point a resolution still cannot be agreed to, complainant will be referred to the National Training Complaints Hotline on 13 38 73.

## 5. Communication and continuous improvement for the RTO

- 5.1 The Operations Manager/Nominee will file the documentation relating to the complaint in secure company records and enter a summary of the issue including outcomes (omitting names) and a reference number in the *Complaints, Appeals and Non-Conformance Register* and the reference number on *Complaints or Appeals Form*.
- The Operations Manager/Nominee will enter into the register a recommendation/action as to what service, process or documentation could be improved in order to avoid a similar issue from occurring and send through copy of outcomes to the following Transqual personnel:
    - Chief Executive Officer
    - Chief Operations Officer
    - National Operations Manager
    - National Compliance Manager
    - HR and Quality Manager
- 5.2 Any action against an employee will be documented on employees HR file (where applicable)
- 5.3 At the next Staff Development Day the Operations Manager will present each complaint received since the last meeting and open the recommendation for improvement to discussion.
- This presentation will exclude any information or references that could indicate who was involved in the issue and is only used as a mechanism for improvement
- 5.4 Any improvements will be documented in the minutes of the meeting

## Related Documents

TQ-TRG-POL-Complaints and Appeals Policy  
Complaints, Appeals and Non-Conformance Register

## Revision Details

Issue No	Date	Revision Details	Approved by
V1.0	17.02.2015	Updated the Grievance and Appeal Procedure to be specific Complaints	Peter McCloy CEO

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