



Complaint Policy and Procedure Training Participants

Complaint Policy (Training Participants):

As part of the TNL Consultants Pty Ltd Program Provision, Policy and Complaint Procedures have been formulated for implementation.

TNL Consultants Pty Ltd protects the right to fair and equitable access, delivery, assessment and certification of all course participants.

The Complaint Procedures are the implementation strategies for this Policy.

DEFINITION OF A COMPLAINT FOR THE PURPOSE OF THIS POLICY

A Complaint or question in respect of any matter affecting the relationship between the trainer/assessor and the trainee/group of trainees (course participants).

Complaints may involve issues of training policy and processes and include matters such as appeals in regard to access, delivery strategies and fair dealings, assessment, recognition of prior learning and certification.

It should be noted that these procedures are different to and separated from Sexual Harassment Complaint procedures. A separate policy and procedure has been formulated to cover Sexual Harassment Complaints.

Where a Complaint arises an attempt shall be made by the aggrieved party and their trainer/assessor to resolve the Complaint at the local level to the satisfaction of all parties.

PRINCIPLES

- 1 Complaints should be handled as far as possible using the consultative Complaint procedure (see page three).
- 2 Resolution of Complaints should occur as quickly as possible.
- 3 Joint consultative mechanisms should be promoted at all times.

COMPLAINT PROCEDURES (TRAINING PARTICIPANTS)

- 4 Confidential records of types of Complaints will be maintained and reported on a regular basis to the Management preserving confidentiality and security.
- 5 Complaints can be withdrawn at any time.
- 6 An aggrieved party can seek external advice or advocacy at any stage.
- 7 Records of Complaints and their outcomes must be made and are to be maintained in the Complaint Log so that they may be provided to internal and external auditors on request.

Trevor Little
Director
TNL Consultants Pty Ltd

COMPLAINT PROCEDURE FLOWCHART

References:

Complaint and Appeals Policy ([RTO 024](#)).

Complaint and Appeals Log ([RTO 025](#)).

A Seven Step Guide to using the Appeals Process has been developed to assist participants in lodging an appeal or a Complaint. ([RTO 057](#)).

COMPLAINT / APPEALS PROCESS

Complaints are to be resolved at the local level wherever possible and where no resolution has been achieved then Complaints will need to be progressively referred to a more senior or technical officer or external agency for equitable consideration and resolution.

Procedure:

All course participants within TNL Consultants Pty Ltd have the right to appeal an assessment decision, non compliance with AQTF Policies and Procedures, or deviations from stated course fees. As an NVR RTO TNL Consultants Pty Ltd must provide opportunities to allow participants to challenge assessment and management decisions.

The TNL Consultants Pty Ltd's Complaint and appeal system is based on simplicity, speed and fairness, incorporates a two stage process involving the assessor initially, and then an independent person or panel.

All participants should be made aware of the appeals process and should be:

- assisted in accessing this process, and also
- supported to ensure a fair and equitable system.

16.2 Grounds for Appeals

Appeals may be made on the grounds that:

- ◆ The assessment judgement has been made incorrectly; or
- ◆ The judgement was not made in accordance with the assessment plan.
- ◆ Non compliance with stated policies and procedures formulated as part of the quality training and or assessing provisions set out in the Standards for NVR Registered Training Organisations.

16.3 Complaint / Appeals Process

A simple, accessible, user friendly, open and transparent system has been established to facilitate and support appellants access to the Complaint and appeals process. The sequential steps within the process include:

Step 1: *Informal appeal or negotiation stage.* Discuss outcome first with the person with responsibility for contact such as the trainer / assessor (or administrator).

Step 2: *Seeking additional clarification/support.* Discuss situation with the supervisor if the person with the Complaint feels that additional support is required.

COMPLAINT PROCEDURES (TRAINING PARTICIPANTS)

- Step 3:** *Formal Appeal.* If not resolved to the appellant's satisfaction, an appeal application form is completed.
- Step 4:** *Lodgement of Appeal.*
- Step 5:** *Resolution.* An Appeal Panel will consider the Application and make a judgement recording the Complaint and the solutions in the Complaint Log.
- Step 6:** *Notification.* The Appeal Panel will notify all parties the results of its considerations providing reasons and just cause for decision-making (this will be made in writing).

Appeals Application Form and Assessment Appeal Process Booklet

A user-friendly Assessment Appeal Process booklet has been prepared for distribution to assessees. This booklet outlines the process in simple language to facilitate understanding and access to the process.

Appeal Panel

Members of the Assessment Appeal Panel (consisting of the RTO Business Manager and independent workplace trainer(s) / assessor(s) or industry and technical experts where appropriate according to the nature of the Complaint and the expertise required for equitable and fair resolution. The Manager / Panel will be appointed and may:

- ◆ Consider all documentation provided;
- ◆ Interview any of the people involved (eg applicant, assessor(s), Assessment Panel members);
- ◆ Request further documentation;
- ◆ Request key people to present to the Panel;
- ◆ Request another Trainer/Assessor/Technical expert to review the case;
- ◆ Schedule another assessment/ opportunity/ training provision; and will finally
- ◆ Uphold or reject the appeal at any stage based on an impartial and informed decision based on the grounds on which appeals may be made.

Assessment Appeal Decisions and Actions Available

The Appeal Panel will notify the results of the appeal process in writing to all parties. If the Appellant is still not satisfied, then TNL Consultants Pty Ltd's Complaint Procedures will need to be accessed.

The appellant will then be advised of their rights (and assisted and supported by the RTO Business Manager) to access the ASQA, where required).

TRAINING PARTICIPANT WITH A COMPLAINT APPROACHES:

