

Title	COMPLAINTS		
Document Type	POLICY		
Responsible Officer	CEO		
Date of Publication	1 July 2017	Version Number	002

1. Purpose

Streamline Training is required to have a policy and processes in place to manage and respond to allegations involving the conduct of staff, students and third party training and assessment providers who provide services on behalf of Streamline Training.

This policy is based on providing and maintaining training and assessment services that are fair and reasonable and afford a forum where 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 Streamline Training staff act in a professional manner at all times, and have a consistent process to follow to support the lodgement and review of complaints from students. This policy provides students with a clear process to register a complaint. It ensures all parties involved are kept informed of the resulting actions and outcomes.

2. Policy Statement

Streamline Training is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (RTOs) 2015 [SRTOs2015].

Streamline Training acknowledges the students' right to lodge a complaint when they are dissatisfied with the training and /or assessment services and experiences that they have been provided by Streamline Training.

Streamline Training will ensure that students have access to a fair and equitable process for expressing complaints, and that Streamline Training will manage the complaint with fairness and equity.

In doing so, Streamline Training:

- a) has written procedures in place for collecting and managing complaints in a constructive and timely manner;
- b) ensures that these procedures are communicated to all staff, third party partners and students;
- c) ensures that all necessary documentation and resources are in place to enable students to submit a complaint;
- d) ensures that each complaint and its outcome is recorded in writing; and
- e) ensures that customer complaints and their outcomes are fed into continuous improvement initiatives.

3. Definitions

3.1 The following words and expressions have the following specific meaning, as in the SRTOs2015.

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.

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4. Policy Principles

4.1 Principles

In managing complaints, Streamline Training will ensure that:

- a) The principles of natural justice and procedural fairness are adopted at every stage of the complaint process.
- b) The complaints policy is publicly available.
- c) There is a procedure for making a complaint.
- d) Complaints are treated seriously and dealt with promptly, impartially, sensitively and confidentially.
- e) Complaints will be resolved on an individual case basis, as they arise.
- f) All students have the right to express a concern or problem and/or lodge a complaint if they are dissatisfied with the training and assessment services that they have been provided (including through a third party) or the behavioural conduct of another student.
- g) All complaints are acknowledged in writing and finalised as soon as practicable.
- h) The complaint resolution procedure is based on the understanding that no action will be taken without consulting the complainant and respondent, using a process of discussion, cooperation and conciliation.
- i) The rights of the complainant and respondent will be acknowledged and protected throughout the complaint resolution process, including the conduct of separate interviews initially.
- j) In the interest of confidentiality, the number of people involved in the resolution process will be kept to a minimum.
- k) Final decisions will be made by the CEO Streamline Training or an independent party to the complaint.
- l) The complaint resolution procedure emphasises mediation and education while acknowledging that in some instances formal procedures and disciplinary action may be required.
- m) If the complaints process fails to resolve the complaint or the complainant is not satisfied with the outcome of the complaint the matter will 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.
- n) If the complaint will take in excess of 60 calendar days to finalise Streamline Training will inform the complainant in writing providing the reasons why more than 60 calendar days are required. The complainant will also be provided with regular updates on the progress of the complaint.
- o) Victimisation of complainants, respondents or anyone one else involved in the complaint resolution process will not be tolerated.
- p) All complaints will be handled as Staff-In-Confidence and will not affect or bias the progress of the student in any current or future training.
- q) Streamline Training encourages informal resolutions of discrimination, sexual harassment, bullying and violence, victimization, and vilification grievances in the first instance, as close to the source as possible, with the option of conciliation or investigation of the complaint if necessary.
- r) Complaints will be investigated in a confidential manner and action will be taken to ensure that the discrimination/harassment stops. Appropriate warning or disciplinary action will be taken where harassment is found to have occurred.
- s) Those responsible for advising, conciliating or investigating a complaint must act fairly and impartially, they must act without bias and avoid any conflict or interest the respondent must be

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given a fair opportunity to know the case against him or her and to be given the opportunity to make a considered response.

- t) All staff, students and contractors involved with the Streamline Training complaint procedures will be treated with respect and courtesy. Enquiries and complaints will be dealt with in a sensitive, equitable, fair, and confidential manner. All attempts will be made to deal with matters expeditiously while ensuring all parties are provided with sufficient time to prepare and or respond.
- u) Streamline Training acknowledges that it is of paramount importance and in the best interests of all parties that confidentiality is maintained during these procedures.

4.2 Types of Complaints

A complaint may include allegations involving the conduct of :

- a) Streamline Training, its trainers, assessors or other staff; or
- b) A third party providing services on behalf of Streamline Training, its trainers, assessors or other staff; or
- c) A student of Streamline Training.

A complaint may include allegations of :

- a) Bullying
- b) Harassment
- c) Victimisation
- d) Vilification

5. Streamline Training Responsibilities

The CEO Streamline Training is the Complaints Resolution Officer. The CEO may delegate responsibility for the resolution of the complaint if necessary.

Details concerning the scope of the Complaints Policy are to be clearly displayed throughout the organisation and contained within the Staff Induction Process, Student Handbook and on the Streamline Training website.

6. Process

Full procedures for complaints resolution are found in the Complaints procedure. The following expresses the general understandings of the process:

6.1 Complaints

If a student has a complaint, they are encouraged to speak immediately with the trainer/assessor to resolve the issue. If the complainant is not satisfied that the issue has been resolved they will be asked to complete a Complaints Lodgement Form, to lodge a formal complaint. Streamline Training will then investigate the complaint and advise the complainant of the outcome.

If the complainant is not satisfied with the outcome they may write to the CEO, 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.

6.2 Complaints Process

All complaints shall follow the below process:

- a) Complaints are to be made in writing within 7 calendar days of the incident using the Complaints Lodgement Form.
- b) A submitted complaint lodgement form will constitute a formal complaint from the student. Further detail of the complaint can be provided by the student verbally.

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- c) The CEO Streamline Training must be informed of receipt of all complaints immediately.
- d) The CEO Streamline Training may delegate responsibility for the resolution of the complaint.
- e) In the case of a complaint, the CEO Streamline Training will initiate a transparent, participative investigation to identify the issues.
- f) Complaints will be processed in accordance with the Complaints flowchart - Annex A.
- g) Complaints, where possible, are to be resolved within 14 calendar days of the initial application.
- h) In all cases the final conclusion will be assessed by the CEO Streamline Training.
- i) The Student will be advised in writing of the outcome of their complaint, within seven (7) days of resolution.
- j) If the outcome is not to the satisfaction of the Student, they may seek an appointment with the CEO Streamline Training.
- k) If the student is not satisfied with the decision they have the option to seek outside assistance to pursue the complaint.

7. Access & Equity

The Streamline Training Access & Equity Policy applies. (See Access & Equity Policy)

8. Records Management

Records of all complaints and their outcomes are maintained securely.

Records of complaints include:

- 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.

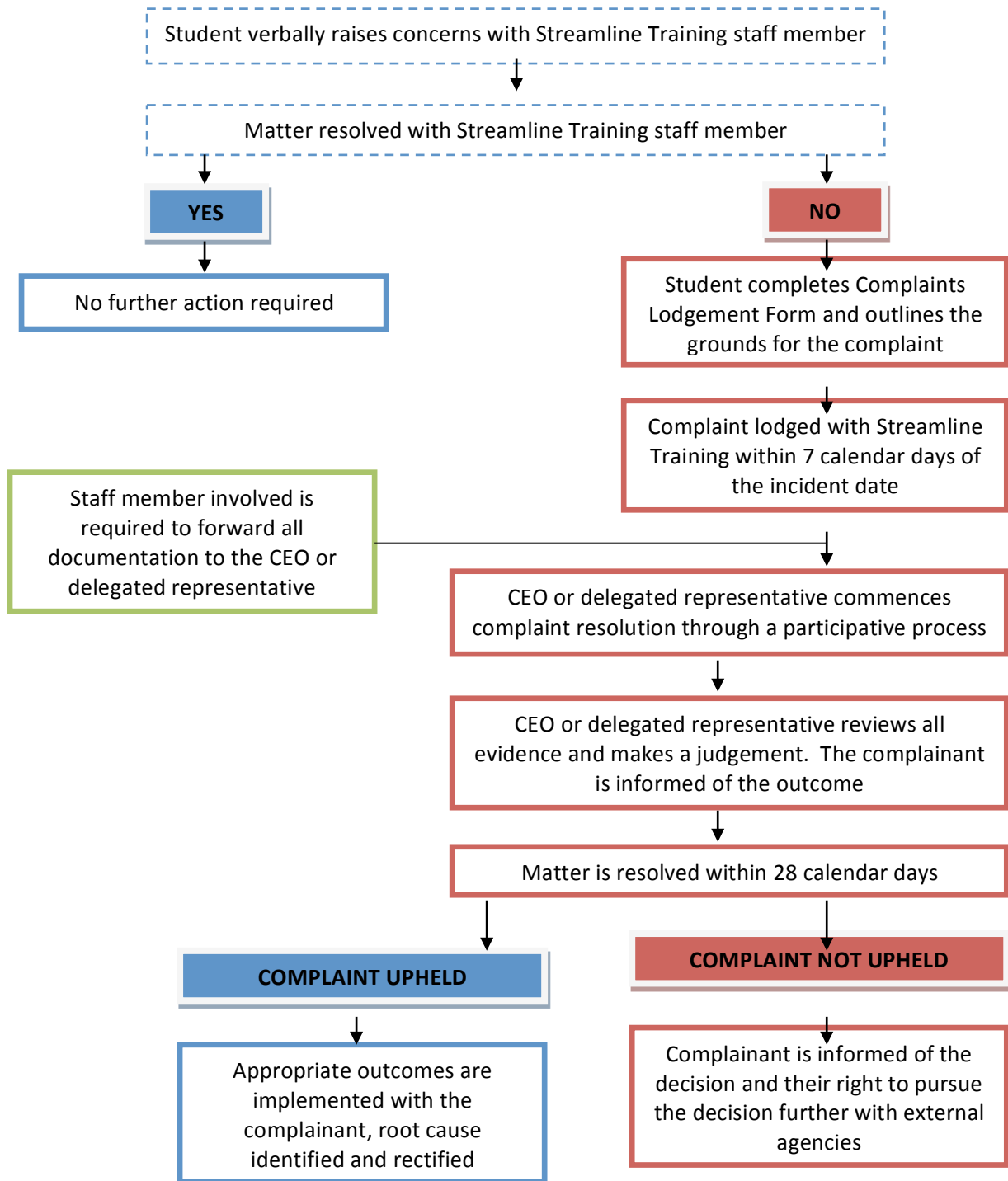
All documentation from complaints processes are maintained in accordance with Records Management Policy. (See Records Management Policy)

9. Monitoring and Improvement

All complaints practices are monitored by the CEO Streamline Training and will be discussed at Streamline Owners Meetings with areas for improvement identified and acted upon. (See Continuous Improvement Policy)

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ANNEXURE A: Complaints Process



Governance

Procedure Owner Position/Title	CEO Streamline Training		
Version Number	002	Date of Next Review	01/07/2019
Prepared By	Rhonda Stacy	Title	RTO Compliance
Approved By	Kim Mitchell	Date Approved	01/07/2017
Related/Supporting Policies	Access & Equity Policy		
Related/Supporting Procedures	Complaints Procedure		
Associated / Supporting Forms	Complaints lodgement form Complaints progress form Complaints register		
Standards for Registered Training Org 2015 (SRTOs2015)	Specific Clauses -	Secondary Clauses -	
	6.1, 6.3, 6.4, 6.5, 6.6	2.1, 2.2, 2.4	
External References / Standards/ Contracts for compliance			

Amendment History

Version	Date Issued	Description of Change: amendments/additions/deletions
001	01/06/2016	New Policy
002	01/07/2017	Review and rewrite, new template, split previous Complaints and Appeals policy