

1. Policy Statement

CTA Training Specialists (CTA) encourages feedback, which may be both positive and/or negative. CTA observes the principles of negotiation and mediation in dealing with any complaints or appeals. Complaints may relate to the curriculum, trainers, treatment of students by other students, assessment or other matters relating to the delivery and assessment services offered by CTA.

2. Scope

The Policy covers all CTA operations (management and staff and currently enrolled students) from first contact and engagement with the relevant parties involved in the provision of structured training and assessment (during training sessions and in the workplace). This policy meets the requires of the standards for RTO's (SRTO).

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

3. Purpose

This Policy is for Managing Staff and Student Complaints arising out of the provision of training and assessment products and services and the relationships between the parties engaged in this process.

4. Application

The policy applies to all complaints and applies to all staff and students and/or trainees and their respective employers who are party to training agreements and training plans.

5. Definitions

Staff means: RTO management and personnel who interact and engage with students and have a work-related relationship with other employees or contractors engaged by CTA in the marketing, promotion, sales and engagement with employers and trainees who have a registered training contract; trainers who negotiate the training agreement and plan with employers and trainees and deliver training services; assessors who assess candidates who have completed their training; and student administration and services who process admission and enrolments and completed unit assessments and qualifications and student records.

Student means: a person enrolled in a formal program of learning with CTA. This includes full-time, part-time, block-mode or distance education students.

Educational institution or workplace setting means operating as a Registered Training Organisation (RTO).

Trainee / Apprentice means: a trainee / apprentice as defined in section 10 of the VETE ACT (QLD) (2000)- a trainee / apprentice is (1) an employee who is being trained in a traineeship or apprenticeship is a trainee/ apprentice, if—(a) a traineeship / apprenticeship contract has been signed by the parties to the contract, whether or not the contract has been registered under this Act; or (b) the probationary period for the traineeship / apprenticeship has not ended

Unit means: an accredited unit which is a single component of a qualification, or a stand-alone unit, that has been accredited by the same process as for a whole AQF qualification. In Australia an accredited unit may be called a 'module', 'subject', 'unit of competency' or 'unit'

Accredited short course means: a program of learning that comprises one or more components (e.g. units of competency, modules or subjects) that have been accredited by an accrediting authority.

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Traineeship / Apprenticeship means: a traineeship / apprenticeship as defined in section 8 of the VETE Act (QLD) (2000) – a traineeship / apprenticeship is employment based training.

Employer means: an enterprise or business

Trainer means: a person who meets the requirements of clause 1.13 - 1.16

Assessor means: a person who meets the requirements of clause 1.13 - 1.16

CTA Management staff and students means: SENIOR MANAGERIAL AGENTS and any other person currently engaged in the provision of training and assessment services (identified in NVR including training and assessment staff, sales account managers and student administration).

Complaint means: behaviour or action which has or is likely to have an unreasonable negative impact on the student in relation to their studies.

Appeal Means: an escalation step which may be open to a Student if the Student is dissatisfied with an adverse decision, or perceives an adverse outcome, and an Appeal may be an Internal Appeal or an External Appeal.

SRTO means: The standards for RTO's 2015.

6. Staff and Students Complaints

Complaints are treated seriously and sensitively, having due regard to procedural fairness, confidentiality and privacy. Requirements relating to confidentiality and privacy extend to the use and storage of any information and records related to a complaint.

Complaints are handled quickly and as close as possible to their source. This may be modified by the nature of the complaint and the student's wishes. Students are to raise concerns as early as possible after the incident/s occurred. Where a complaint arises out of:

- The learner/trainer-assessor relationship and/or
- Engagement with sales account managers servicing trainees and their employers, or
- Student administration and support services
- Management and or/the CTA facilities or equipment or resources or infrastructure

Then the management of those types of complaints will fall within the provisions of, and within the jurisdiction and authority of this policy and specific delegations of authority and responsibilities for resolving of those complaints.

7. Delegation of Authority

The necessary amendment and revisions to authorise the General Manager of Training to implement and take the necessary actions contained in this Policy have been affected as of 15 April 2019 and authorised by the CEO.

7.1 Management Responsibilities

The General Manager of Training is responsible for the implementation of this POLICY organisation-wide and by operations, and for the review and approval of existing or new policy and procedures that support the implementation, operation and maintenance of this Policy.

The General Manager of Training is responsible for ensuring it is implemented, communicated and trained at operational level in relation to training and assessment staff and students/trainees/apprentices and for managing complaints arising out of the specific VTAs, with the appropriate administrative support provided by the Administration Manager (Student Services).

This Complaints Management Policy outlines a process for resolution of staff and student complaints within the context of the RTO workplace and learning environment, and addresses the potential dissatisfaction/conflict within the trainer/student, assessor/candidate, student/admin support relationship,

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and includes issues that relate to academic, interpersonal, personal, discrimination, harassment, intimidation, bullying, and other types of misconduct which are breaches of the different Codes of Conduct that apply to staff and students alike. It also makes provision for managing other types of offences under the common law.

Information about the student complaint management process shall be accessible through the RTO's student information handbook IS 01A-SLC.

The following principles govern the Policy:

- a) That the parties to the complaint wish to resolve it in good faith;

That the parties to the complaint wish to achieve an amicable resolution or agreeable outcome of the complaint rather than concentrating on apportioning blame;

- b) That a student may not be disadvantaged, victimised, or otherwise discriminated against as a result of making a complaint;
- c) That complaints will be resolved in a timely manner;
- d) That complaint resolution procedures are always conducted in accordance with principles of natural justice and in a manner which provides fair, reasonable and unbiased treatment for all parties;
- e) That complainants and appellants have the opportunity to formally present their case at minimal cost to themselves;
- f) That confidentiality must be maintained to the greatest possible extent at all stages of the complaint management process;
- g) That decisions that will negatively affect a person are based on evidence including;
- h) Facts or information to support all negative findings and not merely on suspicion, gossip or rumour
- i) That written reasons for decisions are provided to the parties to a complaint within in a reasonable timeframe;
- j) That complainants will be referred to appropriate advocacy options for assistance in writing and submitting their internal complaint;
- k) That the availability of the RTO's complaints processes does not remove a person's right to seek external mediation or to take action under relevant laws; and
- l) That appropriate resources, such as training, documented processes, guidelines, templates, and supporting information technology systems will be available to all staff who will be involved in handling student complaints.

8. Natural Justice

Natural justice, also known as procedural fairness, is concerned with the procedures used by a decision-maker, rather than the actual outcome reached. It requires a fair and proper procedure be used when making a decision. Any person who might suffer detriment as a result of a decision (complainant or respondent) should be afforded procedural fairness.

Natural justice is a process that provides fairness to all parties. It includes the:

- Right to be heard,
- Right to be treated without bias,
- Right to be informed of allegations being made and to be provided with an opportunity to respond to them,
- Right to information regarding the status of the complaint.

9. Appeals

Students have the right to appeal an assessment decision made by CTA under the following circumstances:

- If the student believes that the assessment outcome was invalid or unfair, and/or

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- If the student believes that the assessment process was invalid, inappropriate or unfair.

All students are encouraged to discuss their concerns with their trainer before engaging the official appeals process. Where a student is dissatisfied with an assessment decision, they must first request a re-evaluation of the assessment. If the student remains dissatisfied with the outcome of the re-evaluation process, they have a right to appeal to the RTO's General Manager of Training. CTA must provide students with the information and steps required for an official assessment appeal.

10. Reporting and Record Keeping

The Quality Assurance Manager will log all the formal complaints into the complaints log on CTA's Intranet system. A report is to be provided to the General Manager of Training a week prior to the quarterly Management Review and will include the following: the number of complaints that have been resolved or have lapsed; the method of resolution and the type of remedy employed; recommendations for changes to policy and practice, including with regard to the management of complaints, brought about as a result of student complaints or evidence of underlying systemic recurring complaints.

Records of formal complaints lodged shall be kept in accordance with relevant policy.

11. Related Documents

- IS 01A - SLC Student Handbook
- IS 02A-SLC Code of Practice
- PRO 10A-CORP Employee Complaints
- PRO 08A-NVR Appeals Against Assessment Decisions
- PRO 20A-NVR Complaints & Appeals

12. Related Forms

- FO 10A-CORP Employee Complaint Lodgement Form
- FO 02A-SLC Student complaints form

13. General Manager of Training Approval

The General Manager of Training of Servir Group Pty Ltd, approves and endorses this policy on the 15 April 2019.

Aaron Bray
General Manager of Training



Signature