

Purpose

The purpose of this document is to provide a clear procedure to ensure complaints and appeals lodged with SGS Australia Pty Ltd can be resolved in a fair, equitable, confidential and timely manner. SGS Australia considers all complaints and appeals received as an opportunity to improve the service that we offer as part of our continuous improvement process.

Scope

This procedure applies to all current, previous and prospective learners, clients, employers and RTO staff of SGS Australia administering complaints and appeals requests.

This procedure outlines how to manage complaints and appeals to ensure a satisfactory outcome is achieved within 28 calendar days; and that any improvements raised during the process, are assessed and (if required) implemented in order to prevent any future issues.

Complaints about a particular incident should be made within 14 calendar days of the incident occurring and appeals must be made within 14 calendar days of the assessment outcome.

Definitions

Complaint

A complaint is the expression of dissatisfaction with SGS Australia's services, products or people.

Complainant

The person submitting the complaint.

Appeal

When a learner disputes an academic decision on their assessment, a complaint outcome, or a course fee; formally requesting for the decision to be reviewed.

Appellant

The person submitting the appeal.

Responsibility

RTO Compliance Officer

- Maintains and implements this procedure
- Follows up on the complaint/appeal in writing within 5 business days or nominating a nominee to follow up on the complaint on their behalf
- Participates in the investigation and resolution of the complaint/appeal where possible
- Communicates the results of resolutions to all concerned parties
- Ensures the Complaints and Appeals Register is maintained and up to date

Training Services Manager and Operations Supervisor

- Implements this procedure
- Participates in the investigation and resolution of the complaint/appeal

RTO Employees, Trainers and Contractors

- Participates in the investigation and resolution of the complaint/appeal where possible
- Provides feedback where appropriate upon the effectiveness of the resolutions

Procedure

1. Informal complaint or appeal received

- 1.1 When a complaint or appeal is verbally communicated to an SGS Australia RTO staff member, the staff member is to try and resolve the issue informally.
- 1.2 If the informal method is ineffective, the complainant/appellant is directed to the RTO Compliance Officer.
- 1.3 The RTO Compliance Officer will discuss the following with complainant/appellant:
 - Explain the complaints and appeals process, including who will need to be involved (depending on the matter) and how the issue will be dealt with as outlined in the Complaints and Appeals Policy.
 - If the issue is in relation to an SGS Australia Staff member or contractor, the complainant/appellant is encouraged to speak with person involved (if possible) before lodging a formal complaint.
 - If the complainant says that they will discuss the issue with the person involved first, the RTO Compliance Officer will 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 or appeal, they will be directed to the Complaints and Appeals form located on the website.

2. Formal complaint or appeal is received

- 2.1 A completed Complaints and Appeals form is received.
- 2.2 Complaint/appeal is added to the Complaints and Appeals Register and a complaint/appeal number is assigned.
- 2.3 The RTO Compliance Officer acknowledges the receipt of the Complaints and Appeals form via email to the complainant/appellant within 5 business days.
- 2.4 The RTO Compliance Officer may nominate another staff member to follow up on the complaint on their behalf.

3. Investigating the complaint/appeal

- 3.1 The RTO Compliance Officer/Nominee, Training Services Manager and Operations Supervisor will investigate the complaint/appeal by gathering information from the parties involved.
- 3.2 All findings from the investigation will be documented on the corresponding Complaints and Appeals Form and in the Complaints and Appeals Register.
- 3.3 The complainant/appellant will be emailed weekly with information on the progress of the complaint/appeal until the complaint/appeal is resolved.
- 3.4 The entire process must be finalised within 28 calendar days. If more than 28 calendar days are required to resolve the complaint/appeal, the RTO Compliance Officer will contact the complainant/appellant in writing outlining the reasons for the extended resolution.

4. Resolving the complaint/appeal

- 4.1 The RTO Compliance Officer/Nominee, Training Services Manager and Operations Supervisor will review the information gathered from all parties involved and decide on a resolution.
- 4.2 The complainant/appellant will be notified of the outcome in writing.
- 4.3 The outcome will be recorded on the Complaints and Appeals Form and in the Complaints and Appeals Register.

5. Appealing the resolution

- 5.1 The complainant/appellant has the option of using an independent third party if they are not satisfied with the outcome of the complaint/appeal. The independent third party will review all information and present a resolution in order to make a final decision regarding the issue. Appeals or requests for independent third party review of decisions are to be lodged in writing within 28 calendar days of the outcome. Costs associated with independent third party to review a matter must be covered by the complainant/appellant unless the decision to include an independent party is made by SGS Australia.

Third Party representatives may include:

NSW Ombudsman	Phone: 1800 451 524 Website: https://www.ombo.nsw.gov.au/
National Training Complaints Hotline	Phone: 13 38 73 or 1800 020 108 Website: https://www.employment.gov.au/national-training-complaints-hotline
Fair Trading	Phone: 13 32 20 Website: www.fairtrading.nsw.gov.au

6. Recording and continuous improvement for the RTO

6.1 The RTO Compliance Officer will upload the completed Complaints and Appeals form and all evidence relating to the complaint/appeal on the Complaints and Appeals Register.

6.2 Any improvements will be documented in the Continuous Improvement Register noting the complaint number for reference as per the Continuous Improvement Procedure. The complainant/appellant details will not be noted to ensure confidentiality.

REVISION RECORD		
Revision:	Revision:	Revision:
1.0	06/03/2020	Initial issue for the combined procedure. Previously separate Complaints and Appeals Procedures were in effect.