

COMPLAINTS & APPEALS POLICY

PURPOSE

Icon is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (SRTOs 2015). As such, Icon is required to have a policy and processes in place to manage and respond to allegations involving the conduct of staff, learners and Third Party training and assessment providers who provide services on behalf of Icon.

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 Icon staff act in a professional manner at all times. This policy provides students or anyone wishing to make a complaint with a clear process to register a complaint. It ensures all parties involved are kept informed of the resulting actions and outcome.

POLICY STATEMENT

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

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

In doing so, Icon:

- Has written procedures in place for collecting and managing complaints in a constructive and timely manner;
- Ensures that these procedures are communicated to all staff, Third Parties and clients;
- Ensures that all necessary documentation and resources are in place to enable clients to submit a complaint;
- Ensures that each complaint and its outcome is recorded in writing; and
- Ensures that customer complaints and their outcomes are fed into continuous improvement initiatives.

Should you need support during any part of this process, a representative from Icon can be made available at any point in

POLICY PRINCIPLES

In managing complaints, Icon will ensure that:

- The principles of natural justice and procedural fairness are adopted at every stage of the complaint process.
- The complaints policy is publicly available.
- There is a procedure for making a complaint.
- Complaints are treated seriously and dealt with promptly, impartially, sensitively and confidentially.
- Complaints will be resolved on an individual case basis, as they arise.
- All clients 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 or the behavioural conduct of another learner.
- All complaints are acknowledged in writing and finalised as soon as practicable.
- 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.
- The rights of the complainant and respondent will be acknowledged and protected throughout the complaint resolution process, including the conduct of separate interviews initially.
- In the interest of confidentiality, the number of people involved in the resolution process will be kept to a minimum. Information in a complaint is kept confidential and only disclosed as required by law or if disclosure is imperative to a resolution of the complaint.
- Final decisions will be made by the Manager of Icon or an independent party to the complaint.
- The complaint resolution procedure emphasises mediation and education while acknowledging that in some instances formal procedures and disciplinary action may be required.
- 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.

- Any person making a complaint will not be adversely affected by making a complaint.
- If the complaint will take in excess of 60 calendar days to finalise, Icon will inform the complainant in writing providing the reasons why more than 60calendar days are required. The complainant will also be provided with regular updates on the progress of the complaint.
- Victimisation of complainants, respondents or anyone one else involved in the complaint resolution process will not be tolerated.
- All complaints will be handled as Staff-In-Confidence and will not affect or bias the progress of the client in any current of future training.

TYPES OF COMPLAINTS

A complaint may include allegations involving the conduct of:

- Icon, its trainers, assessors or other staff; or
- A Third Party providing services on behalf of Icon, its trainers, assessors or other staff; or
- A learner of Icon.

RESPONSIBILITIES

The Manager of Icon is the Complaints Resolution Officer. The Manager may delegate responsibility for the resolution of the complaint if necessary.

The Manager of Icon is responsible for the monitoring of all complaints, ensuring files are kept up to date on-site, and that any processes or policies that occur as a result of any complaint are enforced.

Details concerning the scope of the Complaints Policy are contained within the Staff Induction Process, Employee Handbook, and on the Icon website.

Any action taken to resolve, and outcomes of complaints will be documented accordingly and stored internally in the complaints file at Icon.

NDIS COMPLAINTS

If a client has a complaint, they are encouraged to speak immediately with the trainer/staff member to resolve the issue. If the complainant is not satisfied that the issue is resolved they will be asked to lodge a formal complaint using Icon's Complaints Form. Icon 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 NDIS Quality and Safeguards Commission (NDIS Commission) whom is an independent Commonwealth agency established to improve the quality and safety of NDIS supports and services.

The NDIS Commission can take complaints from anyone about:

- NDIS services or supports that were not provided in a safe and respectful way.
- NDIS services and supports that were not delivered to an appropriate standard.
- How an NDIS provider has managed a complaint about services or supports provided to an NDIS participant.

You can make a complaint to the NDIS Commission by phoning 1800 035 544 (free call from landlines) or completing a complaint contact form [here](#). For information about making a complaint, visit the NDIS Commission website.

RTO COMPLAINTS PROCESS

All complaints shall follow the below process:

- Where the matter has not been resolved locally with the trainer/assessor/staff member, complaints should be made in writing within 10 days of the incident using the Complaints & Appeals Form.
- The Manager of Icon must be informed of receipt of all complaints immediately.
- The Manager of Icon may delegate responsibility for the resolution of the complaint.
- In the case of a complaint, the Manager of Icon will initiate a transparent, participative investigation to identify the issues.
- Complaints will be processed in accordance with the Complaints flowchart (see page 4).
- Complaints, where possible, are to be resolved within 14 calendar days of the initial application.
- In all cases the final conclusion will be assessed by the Manager of Icon.
- The complainant will be advised in writing of the outcome of their complaint, within seven (7) days of resolution.
- If the outcome is not to the satisfaction of the complainant, they may seek an appointment with the Manager of Icon.
- Should the issue still not be resolved to the complainant's satisfaction, Icon will make arrangements for an independent Third Party to resolve the issue and outline any costs that may be involved with this to the student. The student will be given the opportunity to formally present his or her case.

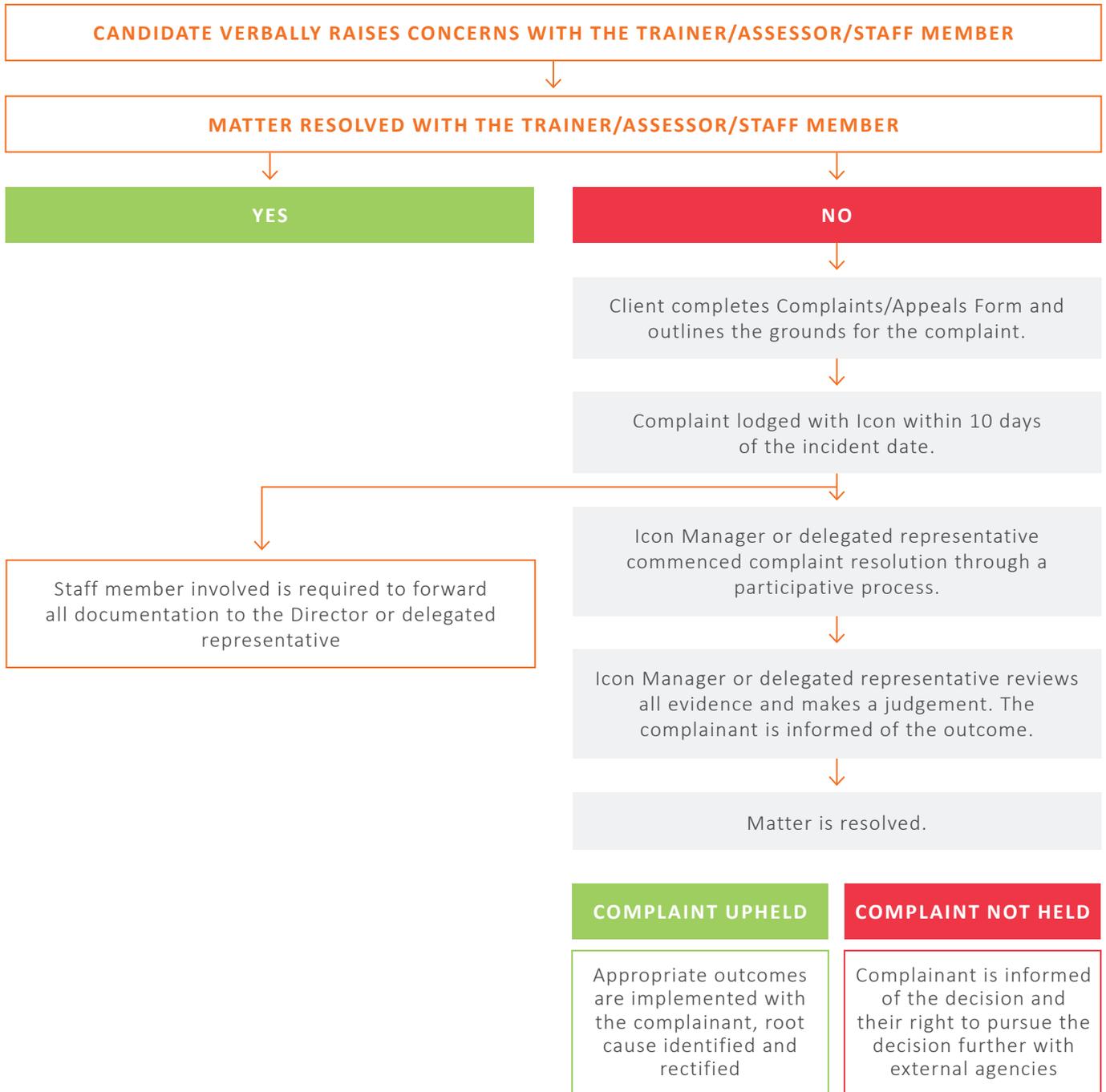
The time frame for this process may vary, but should take no longer than 14 days. If the process is taking longer than 60 days from the complaint or appeal being received the student will be notified in writing of the reason for the delay and kept informed about all progress. If the student is still not happy with external mediation, he/she may take his/her complaint to the Queensland Training Ombudsman. All documentation relating to complaints or appeals should be archived for audit purposes.

ASQA accepts complaints about training providers such as Icon from all members of the community and takes a risk-assessment approach to student complaints, which allows them to focus on risks to the quality of vocational education and training in Australia. ASQA is not a consumer protection agency and cannot act as an advocate for individual students, however, ASQA highly values complaints about training providers— all complaints are used as intelligence to inform regulatory activities. For more information on how ASQA handles complaints, refer to ASQA's policy on [Managing complaints about training providers](#).

A further option available to students and organisations is the National Training Complaints Hotline. This number is 13 38 73 and is staffed Monday–Friday, 8am to 6pm nationally. More details on the National Complaints Hotline can be found at [here](#). The Queensland training ombudsman can provide students with advice about rights and responsibilities within the VET sector, [click here](#) for more information.

MONITORING AND IMPROVEMENT

All complaints practices are monitored by the Manager of Icon and areas for improvement identified and acted upon.





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