

RTO013 Policy Complaints and Appeals

1. Purpose

This policy is to ensure that Health Information Management Association of Australia Limited (HIMAA) records and acknowledges all complaints and appeals and deals with them fairly, efficiently and effectively.

2. Scope

This policy applies to all HIMAA staff.

3. Standard 6 Clauses 6.1-6.6

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

Subject to clause 6.6, to be compliant with Standard 6 the RTO must meet the following:

6.1 The RTO has a complaints policy to manage and respond to allegations involving the conduct of:

- a) The RTO, its trainers, assessors or other staff;
- b) A third party providing services of the RTO's behalf, its trainers, assessors or other staff; or
- c) A learner of the RTO

6.2 The RTO has an appeals policy to manage requests for a review of decisions, including assessment decisions, made by the RTO or a third party providing services on the RTO's behalf.

6.3 The RTO's complaints policy and appeals policy:

- a) Ensure the principles of natural justice and procedural fairness are adopted at every stage of the complaint and appeal process;
- b) Are publicly available
- c) Set out the procedure for making a complaint or requesting an appeal;
- d) Ensure complaints and requests for an appeal are acknowledged in writing and finalised as soon as practicable; and
- e) Provide for review by an appropriate party independent of the RTO and the complainant or appellant, at the request of the individual making the complaint or appeal, if the processes fail to resolve the complaint or appeal.

6.4 Where the RTO considers more than 60 calendar days are required to process and finalise the complaint or appeal, the RTO;

- a) Informs the complainant or appellant in writing, including reasons why more than 60 calendar days are required; and
- b) Regularly updates the complainant or appellant on the progress of the matter.

6.5 The RTO:

- a) Securely maintains records of all complaints and appeals and their outcomes; and

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- b) Identifies potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.

6.6 Where the RTO is an employer or a volunteer organisation whose learners solely consist of its employees or members, does not charge fees for the training and/or assessment, and does not have in place a specific complaints and appeals policy in accordance with Clauses 6.1 & 6.2, the organisation has a complaints and appeals policy which is sufficiently broad to cover the services provided by the RTO.

4. References

This policy has been developed within the guidelines for:

- Standards for Registered Training Organisations (RTOs) 2015
- User Guide Standards for Registered Training Organisations (RTOs) 2015
- VET Act 2011
- RTO001 Doc Complaints and Appeals Flow Chart
- RTO008 Policy Quality Assurance of RTO Operations
- RTO008 SOP Quality Assurance of RTO Operations
- RTO003 Doc Complaints and Appeals Register
- ORG006 Policy Continuous Improvement
- ORG006 SOP Continuous Improvement
- ORG002 Form Continuous Improvement Action Request
- RTO005 Form Complaint
- RTO004Form Assessment Appeal
- RTO013 SOP Complaints and Appeals
- RTO011 Policy Providing Accurate and Accessible Information and Advertising and Marketing
- RTO011 SOP Providing Accurate and Accessible Information and Advertising and Marketing
- RT012 Policy Learners Informed and Protected
- RTO012 Sop Learners Informed and Protected
- RTO008 Policy Trainers and Assessors
- RTO008 SOP Trainers and Assessors
- RTO001 Policy Training Assessment Strategies and Practices
- RTO001 SOP Training Assessment Strategies and Practices
- RTO003 Policy Learner Support Services
- RTO003 Sop Learner Support Services

5. Policy

5.1 HIMAA addresses all complaints and appeals made by a learner

5.2 HIMAA has a policy and procedure in place to manage and respond to allegations involving the conduct of HIMAA's Education Officers and staff members, any third party or another learner

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- 5.3 HIMAA has an appeals process to manage reviews of decisions including assessment decisions with which a learner disagrees
- 5.4 HIMAA's complaints and appeals processes ensure that the principles of natural justice and procedural fairness are shown at every stage of the complaint and appeal process. HIMAA's complaints and appeals policy is available to all learners via the HIMAA website and in its Student Handbook
- 5.5 HIMAA requires all learners who are making a complaint or appeal that the issue be in writing and submitted to HIMAA for resolution as soon as practicable
- 5.6 If the learner is unhappy with the result of HIMAA's handling of the complaint or appeal they can request an outside person to resolve the issue
- 5.7 HIMAA will ensure that if the complaint or appeal needs more than thirty days to process that they will keep the learner informed during the whole process of the progress of the complaint or appeal
- 5.8 HIMAA securely maintains all records of the complaint or appeal and the outcome
- 5.9 HIMAA uses the information from the complaint or appeal for continuous improvement as well as rating it as a risk on the Risk Register. HIMAA investigates corrective action and control to mitigate the likelihood of the issue being repeated
- 5.10 Complaints can be made at any time the learner is dissatisfied with the service provided by HIMAA. An assessment appeal must be made within a reasonable timeframe after the result of the assessment has been issued
- 5.11 HIMAA ensures that the learner has the right to
 - 5.11..1 Present their case
 - 5.11..2 Not be victimised or receive negative treatment because of the learner making a complaint or appeal.
 - 5.11..3 Have the complaint or appeal resolved in a reasonable timeframe
 - 5.11..4 Get access to an independent arbitrator if required
- 5.12 HIMAA investigates the complaint or appeal when necessary. The investigation process is transparent and all findings are evidence based and recorded
- 5.13 HIMAA adopts a win-win approach and tries to achieve an amicable resolution for everyone involved
- 5.14 HIMAA offers an appeals process when a satisfactory result has not been achieved. HIMAA has a three step appeals process which allows learners to raise a complaint first with the Education Officer then the Training Manager Education Services and Quality and Compliance Officer and finally to the Chief Executive Officer if the learner is still unhappy with the outcome
- 5.15 HIMAA ensures that the complaint and appeals procedure is understood by all learners and made available to all learners and staff members
- 5.16 HIMAA provides all staff with information on how to handle complaints and appeals including confidentiality and conflict of interest, as well as protecting client information

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