

# Complaints and Appeals Policy

Version 7, January 2020



## 1. Purpose

This policy provides a process through which issues or inadequacies that arise in the delivery of training, sale of equipment or provision of other services can be resolved. LivCor recognises the rights of clients, employees and others to make complaints or otherwise raise a grievance in good faith without fear of victimisation in doing so.

## 2. Scope

All LivCor staff, clients, students, prospective students, trainers, training partners, suppliers and other stakeholders have a right to lodge a complaint if they have cause for dissatisfaction with any aspect of LivCor operations, including the actions or omissions of staff, students, clients, trainers, training partners or others.

This policy provides a clear process to register a complaint or appeal. It ensures all parties involved are kept informed of the resulting actions and outcomes.

## 3. Complaints Procedure

If a client or student has a complaint relevant to the delivery of training and assessment, they are encouraged to speak immediately with the Trainer-Assessor to resolve the issue. If a client has a complaint relevant to the supply of equipment, publications or other services, they are encouraged to speak immediately with the sales team member or Account Manager to resolve the issue. If an employee has a complaint in relation to another employee, they should speak immediately with their supervisor or the HR Manager.

If the complainant is not satisfied that the issue has been resolved they will be asked to contact the LivCor Head Office to receive a copy of the complaint form and advice on the formal complaint process.

If a complainant is not comfortable with disclosing a complaint that relates to provision of nationally-recognised training, they can call the National VET Regulator on 1300 701 801 for advice on what further actions may be taken to deal with the complaint.

## 3.1 Complaints Process

All complaints shall follow the following procedure.

- a) Verbal or written complaint to the relevant LivCor representative or administrator;
- b) Verbal or written response as appropriate must be given to the complainant within 24 hours;
- c) If not satisfied, the complainant should complete a complaint form and send this to the Compliance Manager within five working days of the incident;
- d) A complaint must be honest and genuine and not be made frivolously or for an alternative purpose;
- e) A written complaint sent to the Compliance Manager will constitute a formal complaint from the complainant;
- f) The Managing Director must be informed of receipt of all formal complaints;
- g) The Compliance Manager may delegate responsibility for the resolution of the complaint;
- h) In the case of a formal complaint, the Compliance Manager will initiate a transparent, participative investigation to identify the issues;
- i) Where possible, complaints are to be resolved within 10 working days of the initial application;
- j) Where this timeframe is not possible – where an interested party is absent, for example – the Managing Director and Compliance Manager will jointly decide on a reasonable and achievable timeframe and convey this together with the reasons for the delay to the complainant.
- k) There may be occasions where an industry representative may be invited to act as an objective party in order to negotiate a satisfactory resolution.
- l) In all cases the final conclusion will be assessed jointly by the Compliance Manager and the Managing Director;
- m) The complainant will be advised in writing of the outcome of their complaint;
- n) If the outcome is not to the satisfaction of the complainant, they may seek an appointment with the Compliance Manager or with the Managing Director as appropriate;
- o) If the complainant is not satisfied with the decision, they have the option to seek outside assistance to pursue the complaint;
- p) All complaints will be handled as Staff-In-Confidence;
- q) Complaints will not affect or bias the progress of any current or future dealings between LivCor and the complainant.

## 3.2 Conduct after a complaint is made or while an investigation is underway

- a) All employees must conduct themselves appropriately and in a professional manner.
- b) Complainants and witnesses will not be treated adversely or otherwise victimised.
- c) All employees must maintain confidentiality about a grievance or complaint, except as required.

## 4. Appeals Against Assessment Decisions

LivCor strives to deal with assessment appeal issues as soon as they emerge, in order to avoid further disruption or the need for a formal complaint process.

All appeals shall:

- a) be made in writing within 5 days of notification of the assessment decision;
- b) a written submission will constitute a formal appeal from the participant;
- c) the Compliance Manager shall be informed of receipt of any appeal;
- d) the Compliance Manager may delegate responsibility for the resolution of the appeal;
- e) in the case of an appeal, the Compliance Manager will initiate a transparent, participative process to deal with the issues at hand;
- f) appeals where possible are to be resolved within 10 working days of the initial application;
- g) in all cases the final conclusion will be endorsed by the Compliance Manager;
- h) the participant will be advised in writing of the outcome of their appeal;
- i) if the outcome is not to the satisfaction of the participant, they may seek an appointment with the Compliance Manager or with the Managing Director;
- j) if the participant is not satisfied with the decision they have the option to seek outside assistance to pursue the appeal;
- k) all appeals will be handled as Staff-In-Confidence and will not affect or bias the progress of the participant in any current or future training.

## 5. Administration

All complaints and appeals will be discussed at Management Review Meetings for continuous improvement of the processes.

All Complaints and Appeals are to be held on file.

Details concerning this Complaints and Appeals Policy are to be clearly displayed throughout the organisation and contained within the employee induction process, Staff Handbook, Trainer Handbook and Student/Client Handbook.