Complaints Policy

1. Purpose

Australian Institute of Compliance Professionals (AICP) is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations 2015 (SRTOs). As such, AICP is required to have a policy and processes in place to manage and respond to allegations involving the conduct of team members and learners.

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 AICP team members act in a professional manner at all times. This policy provides learners with a clear process to register a complaint. It ensures all parties involved are kept informed of the resulting actions and outcomes.

2. Policy Statement

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

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

In doing so, AICP:

a. has written procedures in place for collecting and managing complaints in a constructive and timely manner;

b. ensures that these procedures are communicated to all team members and learners;

c. ensures that all necessary documentation and resources are in place to enable learners to submit a complaint;

d. ensures that each complaint and its outcome is recorded in writing; and

e. ensures that customer complaints and their outcomes are fed into continuous improvement initiatives.

3. Definitions

3.1 The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.

4. Policy Principles

4.1 Principles

In managing complaints, AICP will ensure that:

a) The principles of natural justice and procedural fairness are adopted at every stage of the complaint process.

b) The complaints policy is publicly available in AICP's Learner Handbook.

c) There is a procedure for making a complaint.

d) Complaints are treated seriously and dealt with promptly, impartially, sensitively and confidentially. Complaints will be resolved on an individual case basis, as they arise.

e) All learners 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.

f) All complaints are acknowledged in writing and finalised as soon as practicable.

g) 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.

h) The rights of the complainant and respondent will be acknowledged and protected throughout the complaint resolution process, including the conduct of separate interviews initially.

i) In the interest of confidentiality, the number of people involved in the resolution process will be kept to a minimum.

j) Final decisions will be made by the CEO or an independent party to the complaint.

k) 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 incurred by the complainant who will be advised of the approximate costs prior to referral.

l) If the complaint will take in excess of 60 calendar days to finalise AICP will inform the complainant in writing providing the reasons why more than 60 calendar days are required. The complainant will also be provided with regular updates on the progress of the complaint.

m) Victimisation of complainants, respondents or anyone one else involved in the complaint resolution process will not be tolerated.

n) All complaints will be handled as In-Confidence and will not affect or bias the progress of the learner in any current of future training.

4.2 Types of Complaints

A complaint may include allegations involving the conduct of:

a) AICP, its trainers, assessors or other team members; or

b) A learner of AICP.

5. AICP Responsibilities

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

Details concerning the scope of the Complaints Policy are to be clearly displayed in the Learner Handbook.

6. Process

6.1 Complaints

If a learner has a complaint, they are encouraged to immediately contact AICP's Student Support Manager at support@complianceinstitute.edu.au with the subject line "Compliant" and including the complainant's full name. If the complainant is not satisfied that the issue has been resolved they will be required to lodge a formal complaint by completing a Complaints Lodgement form.
AICP will then investigate the complaint and advise the complainant of the outcome.

6.2 Complaints Process (Formal Complaint)

Formal complaints shall follow the below process:

a) Complaints are to be made in writing within 7 calendar days of the incident occurring, using the Complaints Lodgement Form and submitted to the Student Support Manager by email to support@complianceinstitute.edu.au with the subject line "Complaint Lodgement" and include the learner's full name.

b) Complaints that are not lodged in the manner prescribed above will not be considered to have been lodged and will not considered until lodged in the prescribed manner.

c) A submitted Complaint Lodgement Form will constitute a formal complaint from the learner. Further details of the complaint can be provided by the learner verbally.

d) The CEO may delegate responsibility for the resolution of the complaint.

e) In the case of a complaint, the CEO will initiate a transparent, participative investigation to identify the issues.

f) Complaints will be processed in accordance with the Complaints flowchart - Annex A.

g) Complaints, where possible, are to be resolved within 30 calendar days of the initial application.

h) In all cases the final conclusion will be assessed by the CEO.

i) The Learner will be advised in writing of the outcome of their complaint, within seven (7) days of resolution.

j) If the outcome is not to the satisfaction of the learner, they may seek a meeting with the CEO to discuss the matter further.

7. Appeal to Outside Authority

This Complaints process does not preclude the student seeking redress in other forums outside the AICP process. For example, the complainant may wish to take the matter further by selecting the appropriate body from among such bodies as the Office of Fair Trading (02-4925000), the Administrative Appeals Tribunal (1-300-366700), the Human Rights and Equal Opportunity Commission (1-300-656419) or the Anti-Discrimination Board of NSW (02-49264300). (A full list of external bodies is located in the Government section of the telephone directory).

8. Records Management

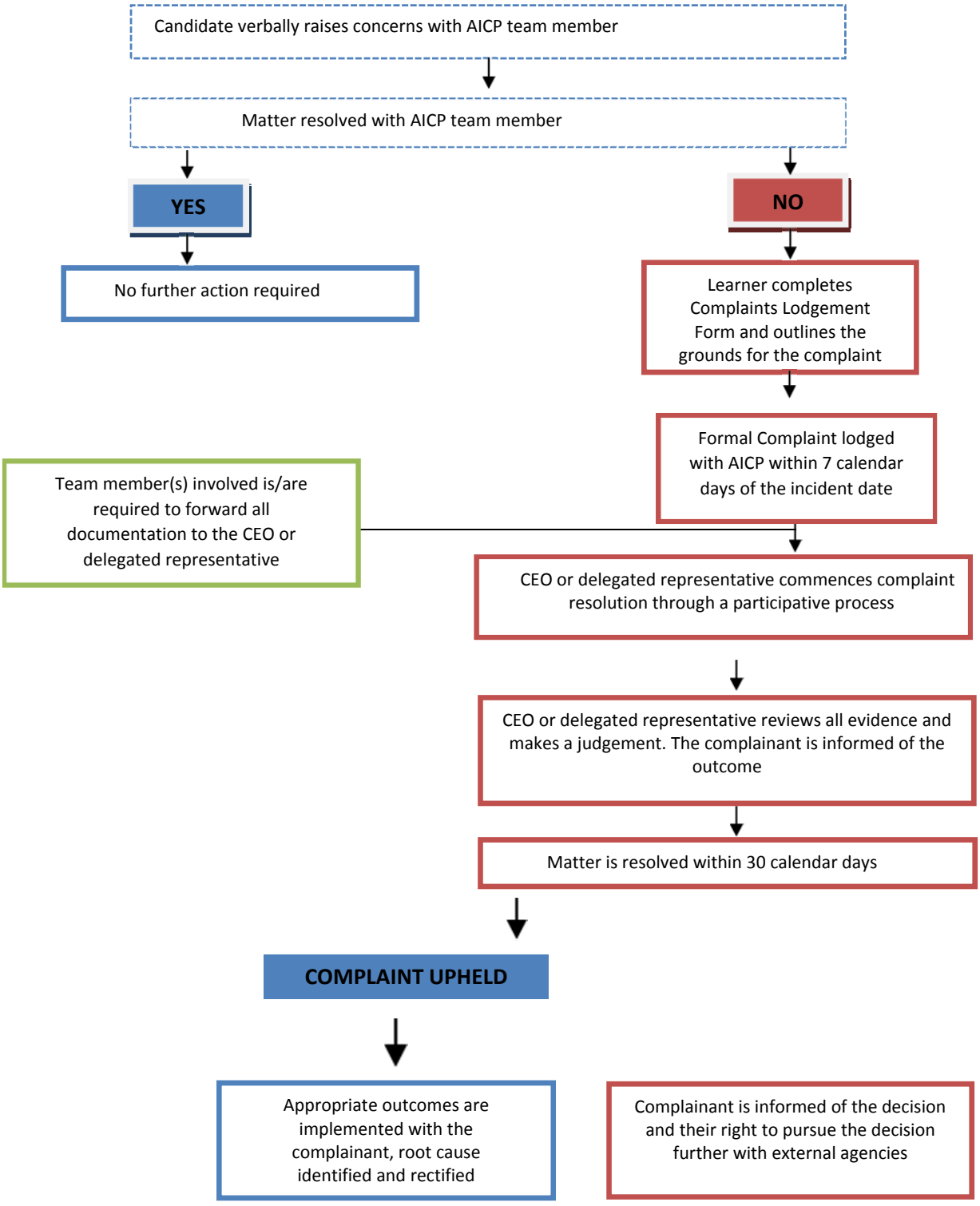
Records of all complaints and their outcomes are maintained securely.

Records of complaints include:

a. How the complaint was dealt with;
b. The outcome of the complaint;
c. The timeframes for resolution of the complaint;
d. The potential causes of the complaint; and
e. The steps taken to resolve the complaint.

All documentation from Refund processes are maintained in accordance with Records Management Policy.

9. Monitoring and Improvement

All complaints practices are monitored by the CEO and will be discussed at Management Review Meetings with areas for improvement identified and acted upon.

ANNEX A: Complaints Process