SP-8.5 COMPLAINTS PROCEDURE

Purpose

ECTARC Training Services (ETS) recognises the need for clear policy and procedures for handling complaints which are understood by employees, students, employers and other stakeholders. All need to be reassured that their complaint will be dealt with efficiently and without prejudice.

Scope

Any student, employer or other stakeholder, including an ETS employee can make a complaint if unsatisfied with a product or service provided by ETS.

Definition

Any stakeholder may submit a formal complaint regarding a decision made by ETS.

A complaint is a statement or approach by a student, employer or other stakeholder to an ETS employee who is unhappy with a product or service, feels that an error has been made, or they have been unfairly or treated. An ETS employee also has the right to complain if they feel that the assessment process has not been conducted in an appropriate manner.

Deployment

Before making a formal complaint, complainants are encouraged to discuss the matter with the relevant ETS personnel to reach a shared understanding of the matter and agreement. Issues relevant to students or employers are documented in the ECTARC Student Management Portal as a private note using the Complaint Drop Down and Complaint template. This note is open only to relevant ETS leadership (or other delegated employees) and the students. This is where students can see updates/outcome of the complaint process and other relevant information.

Where additional information requiring greater levels of confidentiality needs to be documented, a second note may be made and opened only to the General Managers.

A report can be created by any General Manager of all notes that have been created using the Complaint dropdown.

For student and employer related Complaints, the General Manager – Training Services Manager will make a private note in the ECTARC Student management Portal only accessible to the student or employer, and ETS management/leadership as relevant. For all other complaints, any General Manager may record this information.

Where a shared understanding cannot be agreed upon, an ETS962 Complaints Form (Jot Form) must be forwarded to the complainant making the complaint and used to document relevant information including a section for the complainant:

- Submission date of complaint,
- Name of complainant,
- Details of complaint,
- Date of the event / activity which lead to the complaint,
- A description of the complaint and relevant supporting data,
- Any other relevant information or attachments (if applicable),
- The requested remedy,

And a section for relevant ETS:

- Immediate action taken (if any), and
- The due date for a response
- ETS employee names who were involved in the review
- Details of the review
- Outcome of the review
- Details of response being provided to the complainant.

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The link to this form can be accessed from ECTARCDOC - Training Services\Quality Assurance\Quality System - Complaints and Complaints\1 Forms. The note in the ECTARC Student Management System.

All stages of the complaints process are documented on the Jot Form and the ECTARC Student Management System (where relevant). Complaints may be lodged via various channels including in-person via ETS personnel, via telephone and via email.

Raising a complaint

Any stakeholder may submit a formal complaint.

Before making a formal complaint, individuals are encouraged to discuss the matter with the relevant ETS personnel to reach a shared understanding of the matter and agreement. A note is made in the ECTARC Student Management Portal as described under deployment.

If an individual wishes to query their assessment outcome or the assessment procedure they are required to submit an ETS76 Appeals Form. If the individual is not happy with the outcome of that review, they may wish to escalate the appeal as a formal complaint using this procedure.

Once the completed form is submitted to ETS by a complainant a notification will be received by General Manager – Training Services and General Manager - Learning, Development and Quality Assurance.

General Manager – Training Services will advise the relevant employee (if the complaint is made against a person). A panel of no less than three (3) ETS employees, one of whom may be an identified employee in the complaint, will be convened to conduct a full review of the complaint and supporting documentation. A lead will be appointed. The Jot Form will be allocated to the panel lead.

Details of the outcome of that review, including reasons for the outcome, date, and names of employees on the panel, will be documented on the relevant ETS76 Complaint Form (Jot Form) and the ECTARC Student Management System.

Processing Complaints

ETS commences processing formal complaints as soon as practicable and within five (5) business days of an complaint being made and finalises the outcome as soon as practicable.

Complaints are allocated to a General Manager, who may allocate alternate or additional resources to the investigation and processing of the complaint.

ETS acknowledges receipt of complaints in writing (either opening of a file note or email where not applicable) as soon as practical, and:

- Arranges a suitable time if needed to discuss the complaint with relevant people,
- Advises complainants of expected timeframes, and
- Gives complainants the contact details of the allocated contact person they can speak to about their complaint.

An up-to-date status is made available to the complainant upon request and at regular intervals through the ECTARC Student Management Portal or by email.

Complaint investigations are expected to be resolved, and decisions made on the complaint as soon as practical and within twenty (20) working days of the complaint being received in writing.

Complainants are given an opportunity to formally present their case at no cost and be accompanied and assisted by a support person at any relevant meetings.

Decisions and outcomes of all complaints are merit-based decisions that consider all available evidence. ETS ensures complaints are considered with an open mind and without bias arising from any past issues with the complainant. Issues raised in complaints are analysed to determine cause(s) and the root cause evident.

Complainants are advised of the outcome of the complaint in writing (either through the ECTARC Student Management Portal or email (where relevant), including detailed reasons for the outcome. With this notification, complainants also receive information on how they can progress their complaint if unhappy.

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If a complainant is still unhappy they may escalate the complaint to the ETS General Manager for independent external review. Escalated complaints are to include the following information:

- Submission date of complaint,
- Name of complainant,
- Nature of complaint,
- Reasons why the complainant is not satisfied with the outcome of the original complaint, and
- Any other relevant information or attachments (if applicable).

ETS General Manager acknowledges receipt of escalated complaints in writing as soon as possible and within five (5) working days of receipt of the complaint.

The General Manager may raise the matter to the ETS CEO or board or follow an external dispute resolution process with the relevant state or federal government department.

ETS gives due consideration to any recommendations arising from the external review within ten (10) working days of the receipt of the recommendations, including implementing the decision(s) or recommendation(s) and/or taking the preventive or corrective action(s) required by the decision and advises the complainant of that action in writing.

Investigations are expected to be resolved, and decisions made on the complaint as soon as practical and within twenty (20) working days of the escalated complaint being received in writing.

Complainants are advised on the outcome of complaints in writing, including detailed reason(s) for the outcome, explanations for decisions and remedies where appropriate.

Complaints Register

The Complaints Register is updated automatically from the ETS962 Complaints Form (Jot Form) and can only be accessed by nominated staff members using a secure log in. ETS securely maintains records of all details of the complaints process and retains evidence in the students or employers party record as a private file in the ECTARC Student Management System (Jobready).

VERSION CONTROL	DATE RELEASED	NEXT REVIEW	APPROVED BY	AMENDMENT
Version 2	July 2025	July 2026	ECTARC Leadership	Updated to reflect the requirements of Standards for RTOs 2025