

Complaints and Appeals Procedures

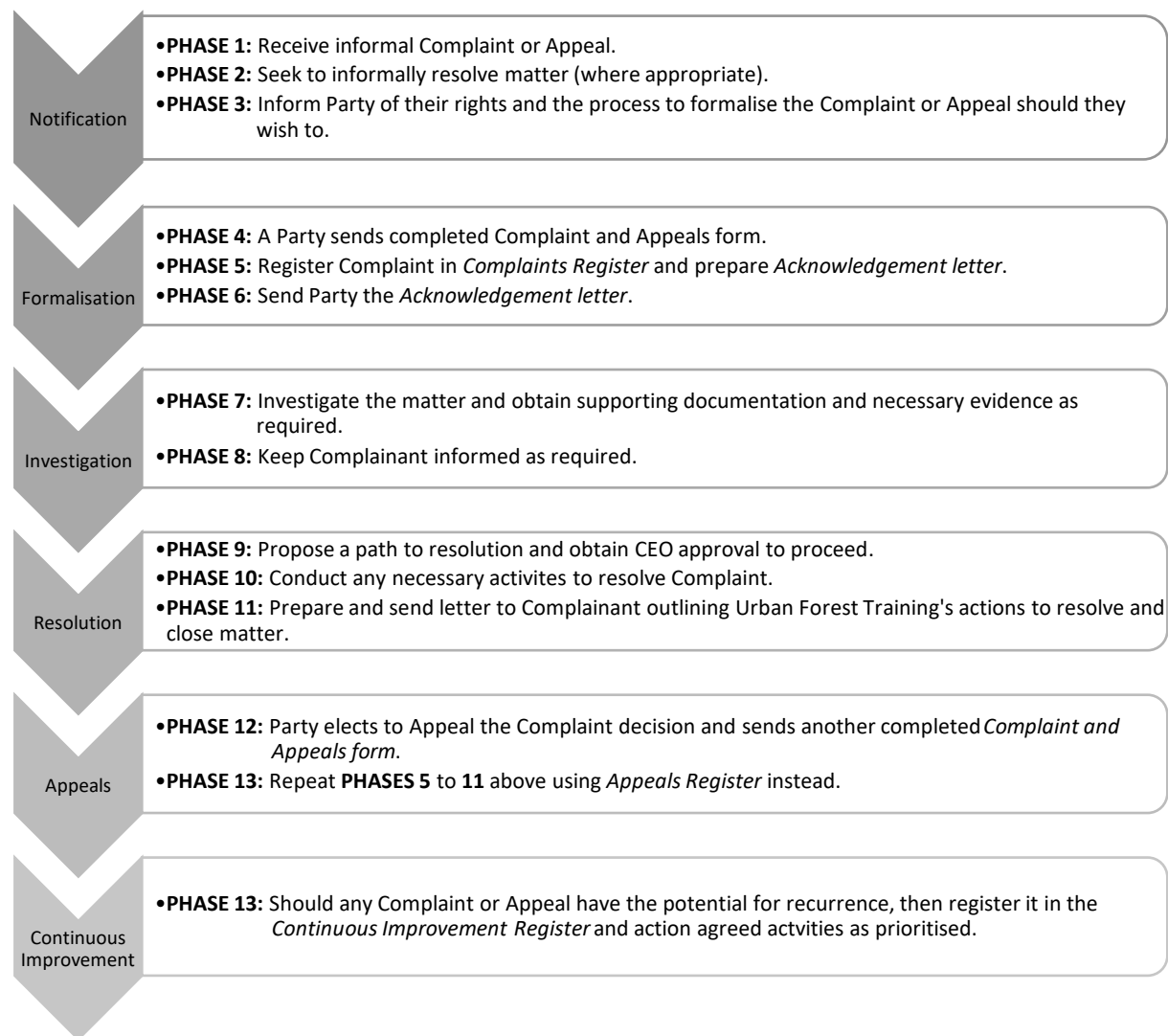
Version 1.0



Purpose:	The purpose of this procedure is to ensure that Urban Forest Training manages its Complaints and Appeals to Complaints within the principles outlined by the <i>Complaints and Appeals Policy</i> .
Scope:	This procedure applies to all Urban Forest Training staff, contractors and any applicable third parties and students.
Responsibilities:	The CEO is ultimately accountable for adherence to this procedure.
Standards:	This procedure contributes to compliance with clauses 6.1, 6.2, 6.3, 6.4, 6.5 & 6.6.
Policy:	This procedure supports compliance to the <i>Complaint and Appeals</i> and <i>Compliance and Governance</i> policies.
Tools:	This procedure is supported through application of the <i>Complaint and Appeals Form</i> , <i>Complaints and Appeals Acknowledgement Letter</i> , <i>Complaints Register & Appeals Register</i> .

NOTE: The term Party referred to within this procedure could relate to Urban Forest Training staff, contractors, students or any applicable third-parties, employers of students or guardians/parents of students. Further, the terms Complaint and Appeals take the meaning as defined within the *Complaints and Appeals Policy*.

Complaints and Appeals Process Flow



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PHASE 1: Receive informal Complaint or Appeal.

Procedural Step	Accountability	When
<p>1. A party refers Complaint or Appeal matter to an Urban Forest Training representative informally either in-person, via phone call or in writing.</p>	Complainant or Appellant	At their sole discretion.
<p>2. Urban Forest Training’s representative receiving the informal Complaint or Appeal must:</p> <ul style="list-style-type: none"> ➤ Receive information in an empathetic manner creating a safe environment for the Party to clearly express their grievances or guarantees for an outcome; ➤ Under no circumstances to volunteer an opinion regarding the issue relating to the grievance; ➤ If Urban Forest Training Representative can, suggest an informal approach to resolution (if appropriate) – refer PHASE 2 of this procedure; ➤ If Urban Forest Training Representative is not able to suggest an informal approach to resolution (as appropriate), suggest to the Party a referral to another Urban Forest Training Representative who will be able to nominate an informal approach to resolution (and brief and handover the matter to an alternative Urban Forest Training representative to continue with this procedure); ➤ Remind the Party of their rights under Urban Forest Training’s <i>Complaints and Appeals Policy</i> to raise a formal complaint; ➤ Should the matter be of an extremely serious nature, apply the judgement necessary to refer matter immediately to Urban Forest Training’s CEO for their discernment including informing authorities. 	Urban Forest Training Representative receiving Complaint or Appeal	Immediately if via phone or all other methods within 1 business day of informal Complaint or Appeal.
<p>3. Should the party be open to an informal resolution proceed with Phase 2 of this procedure. Should the party decide not to proceed with either informal or formal resolution then conclude procedure with no further action required. If party wishes to pursue a formal Complaint or Appeal, then proceed to Phase 3 or 4 of this procedure.</p>	Urban Forest Training Representative receiving informal Complaint or Appeal	Immediately if via phone or all other methods within 1 business day of informal Complaint or Appeal.

Note: in some instances, this procedural step may be redundant should the student decide to go straight to Phase 4 with a lodgement of a formal Complaint or Appeal.

PHASE 2: Seek to informally resolve matter (where appropriate).

Procedural Step	Accountability	When
<p>4. Considering the principles outlined by paragraph (a) in the <i>Complaint and Appeals Policy</i>, suggest an informal resolution to the Party outlining the merits, process and intended outcomes of the suggested approach and ascertain their appetite to participate in an informal resolution to the matter.</p>	Urban Forest Training Representative assigned to the informal Complaint or Appeal	Within 1 business day of receiving informal Complaint or Appeal.

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<p>5. Should the party consent to an informal resolution which involves parties interacting, then ensure each party is adequately briefed, treated fairly, and feel safe to volunteer their perspectives on the matter. If the matter is subsequently resolved, no further action is required concluding this procedure. Should the Urban Forest Training Representative conclude that there may be potential recurrence of similar causes for future Complaints or Appeals, then the matter needs to be registered in the <i>Continuous Improvement Register</i> and treated in accordance with the <i>Compliance and Governance Policy</i> with judgement applied on the importance and urgency of working on the issue.</p>	<p>Urban Forest Training Representative assigned to the informal Complaint or Appeal</p>	<p>At Urban Forest Training Representative's discretion and agreement between parties.</p>
<p>6. Should the party decide not to proceed with either an informal or formal resolution conclude this phase of the procedure with no further action required. If party wishes to pursue a formal Complaint or Appeal, then proceed to either Phase 3 or Phase 4 of this procedure.</p>	<p>Urban Forest Training Representative assigned to the informal Complaint or Appeal</p>	<p>Within 1 Business Day of informal Complaint or Appeal.</p>

Note: in some instances, this procedural phase may be redundant should the student decide to go straight to **Phase 4** with a lodgement of a formal Complaint or Appeal.

PHASE 3: Inform Party of their rights and process to formalise the Complaint or Appeal.

Procedural Step	Accountability	When
<p>7. Should the Party decide to raise a formal Complaint or Appeal direct them to familiarise themselves first with the <i>Complaints and Appeals Policy</i> and then the <i>Complaint and Appeals Form</i> (published on the website and further contained in the <i>Student Handbook</i>) requesting that they complete the form in a timely manner at their discretion following the instructions contained in the form for Urban Forest Training to commence its assessment and investigation of the matter.</p>	<p>Urban Forest Training Representative assigned to the informal Complaint or Appeal</p>	<p>Immediately or as soon as practicable.</p>

PHASE 4: A Party sends completed *Complaint and Appeals form*.

Procedural Step	Accountability	When
<p>8. Check <i>Complaints and Appeals form</i> for legibility and completeness (including any supporting documentation). Should this suffice, proceed to Phase 5, otherwise liaise with the party to resolve open issues.</p>	<p>Urban Forest Training Representative receiving <i>Complaint and Appeals Form</i>.</p>	<p>Immediately or as soon as practicable.</p>

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PHASE 5: Register Complaint in *Complaints Register* and prepare *Acknowledgement letter*.

Procedural Step	Accountability	When
9. Register the Complaint in the <i>Complaints Register</i> by transcribing key information at this stage of the process and obtain a Complaints Reference Number.	Urban Forest Training Representative receiving <i>Complaint and Appeals Form</i>	Immediately or as soon as practicable.
10. Pre-populate the <i>Complaint and Appeals Acknowledgement letter</i> with the specifics of the matter and include the corresponding Complaints Reference Number obtained from the <i>Complaints Register</i> .		
11. Provide a copy of the <i>Complaint and Appeals form (and any supporting documents)</i> and the pre-prepared <i>Complaint and Appeals Acknowledgement letter</i> for the CEO's review, approval, and signature to release letter to student. CEO to assign matter to appropriate Representative and provide any initial procedural guidance as required.		

PHASE 6: Send Party the *Acknowledgement letter*.

12. Send Party the <i>Complaint and Appeals Acknowledgement letter</i> . Note: This can be done either electronically via email if attachment is a pdf or alternatively via post.	Urban Forest Training Representative assigned by CEO to matter	Within 2 business days of receipt of completed form.
13. Update the Complaint in the <i>Complaints Register</i> with the date of the acknowledgement letter and the Urban Forest Training Representative assigned by CEO to the matter.	Urban Forest Training Representative assigned by CEO to matter	Within 2 business days of receipt of completed form.

PHASE 7: Investigate the matter and obtain supporting documentation and necessary evidence as required.

14. Urban Forest Training's Representative assigned to investigate the Complaint or Appeal, ensuring: <ul style="list-style-type: none"> ➤ All parties involved with the Complaint or Appeal are informed, liaised with and ensuring that they feel safe and treated fairly with minimum disruption to current training services (where possible); ➤ The investigation is conducted procedurally upholding all principles outlined by paragraph (a) in the <i>Complaint and Appeals Policy</i>; ➤ Supporting evidence is gathered where as appropriate. ➤ The merits of external independent management of the Complaint are assessed; and ➤ Adequate discernment of all facts of the matter to conclude a proposed path to resolution including any associated recommended actions. 	Urban Forest Training Representative assigned by CEO to matter	At Urban Forest Training's discretion but before 30 calendar days from receipt of the <i>Complaints and Appeals Form</i> .
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PHASE 8: Keep Complainant informed as required.

Procedural Step	Accountability	When
<p>15. During the investigation, ensure that the Complainant and any other parties are regularly updated at your discretion, however within the parameters outlined within the <i>Complaints and Appeals Policy</i> ensuring that if the investigation is deemed to take more than 60 Calendar days to resolve, written notification is provided to the Claimant outlining clear reasons for the nominated timeframe. When provided updates ensure that you do not volunteer your opinion on the matter nor make any representations on the outcome but rather stick to procedural updates. Should Urban Forest Training decide to provide an update in written form, use the <i>Student Complaint and Appeals Acknowledgement letter</i> template and provide letter for CEO's review, approval, and signature prior to release to the Party.</p>	<p>Urban Forest Training Representative assigned by CEO to matter</p>	<p>At Urban Forest Training's discretion but before 30 calendar days from receipt of the <i>Complaints and Appeals Form</i>.</p>

PHASE 9: Propose a path to resolution and obtain CEO approval to proceed.

Procedural Step	Accountability	When
<p>16. At the conclusion of the investigation, present the facts of the matter and make a considered recommendation for a path to resolution for CEO approval. Should the CEO conclude with your recommendation, proceed to Phase 10 of this procedure, otherwise take the instruction from the CEO for any remediation required.</p> <p>Note: the CEO is ultimately responsible for the management of Complaints and as such this procedure should not proceed further without this approval. There will be instances where 'no further action required' is the conclusion of the investigation.</p>	<p>Urban Forest Training Representative assigned by CEO to matter</p>	<p>At Urban Forest Training's discretion but before 30 calendar days from receipt of the <i>Complaints and Appeals Form</i>.</p>

PHASE 10: Conduct any necessary steps to resolve Complaint.

Procedural Step	Accountability	When
<p>17. Action any corresponding actions that result from the approved recommendation from Phase 9 of this procedure. On conclusion, update the complaint record in the <i>Complaints Register</i>.</p>	<p>Urban Forest Training Representative assigned by CEO to matter</p>	<p>At Urban Forest Training's discretion but before 30 calendar days from receipt of the <i>Complaints and Appeals Form</i>.</p>

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PHASE 11: Prepare and send letter to Complainant outlining Urban Forest Training's actions to resolve and close issue.

Procedural Step	Accountability	When
18. Use the <i>Complaints and Appeals Acknowledgement Letter</i> Template to generate a letter to notify the Complainant of Urban Forest Training's actions (if any) to resolve and close issue. Provide letter for CEO's review, approval, and signature to release letter to student. Send the letter to the Complainant. Update the complaint records in the <i>Complaints Register</i> . Proceed to Phase 14 if and as applicable.	Urban Forest Training Representative Assigned by CEO to matter	At Urban Forest Training's discretion but before 30 calendar days from receipt of the <i>Complaints and Appeals Form</i> .

Note: This procedure document can conclude for Complaints after this **phase**, however, should a party elect to Appeal the resolution by Urban Forest Training, then follow the remainder of this procedure document.

PHASE 12: Party elects to Appeal the Complaint and sends another completed *Complaint and Appeals form*.

Procedural Step	Accountability	When
19. Check <i>Complaints and Appeals form</i> for legibility and completeness (including any supporting documentation). Should this suffice, proceed to Phase 13 , otherwise liaise with the party to resolve open issues.	Urban Forest Training Representative receiving Form	Immediately or as soon as practicable.

PHASE 13: Repeat PHASES 5 to 11 of this Procedure using the Appeals Register instead.

Procedural Step	Accountability	When
20. Urban Forest Training's approach to assessing, investigating, and resolving a Complaint does not defer from an Appeal lodged against a former Complaint. Therefore, repeat PHASES 5 to 11 outlined in this procedure document with the only exception being utilisation of the <i>Appeals Register</i> rather than the <i>Complaints Register</i> .	Refer PHASES 5 to 11 above for respective accountabilities and expected timelines.	

STEP 14: Should any Complaint or Appeal have the potential for reoccurrence, then register it in the *Continuous Improvement Register* and action agreed activities as prioritised.

Procedural Step	Accountability	When
21. Apply judgement necessary to determine if there is any merit in a solution that might reduce the risk of reoccurrence and if so, register this in the <i>Continuous Improvement Register</i> .	Urban Forest Training Representative Assigned by CEO to matter	Registered within 1 business day on resolution of the formal Complaint or Appeal.

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