

P026 Complaints and Appeals Policy

[Controlled Document. P026 Complaints and Appeals Policy v2.1.pdf.](#)

Version No: 2.1. Date Effective: Jan 2017. Review Date: March 2018.

Purpose

The purpose of this document is ensure transparent complaints and appeals procedures that enable students and clients to be informed of and to understand their rights and the RTO's responsibilities. Ensure that all complaints and appeals are dealt in accordance with the principles of natural justice and procedural fairness and aims to resolve complaints, disputes and appeals as soon as possible.

Compliance

This policy and procedure refers to the following Standards for RTOs 2015 6.1 – 6.6

Scope

This policy applies to Complaints and Appeals related to:

- the RTO, its trainers, assessors and other staff

- a third party providing services on the RTO's behalf, its trainers, assessors or other staff
- or
- a learner of the RTO.

Related Documents

F036 Student Complaint Form

F037 Appeal Form

F050 Complaints, Appeals and Incident Register

Communication

This policy and related documents will be communicated to staff via the internal communications process.

Complaints Procedure

Clients may choose to submit a complaint to the RTO staff via the Informal Process or Formal Written Process F036 Student Complaint Form. The RTO staff will explain the Informal and Formal complaints and assessment appeals processes available to them. (Please note 'RTO staff' will be considered to include third parties or partnering organisation staff).

Informal process

- Client may submit a complaint (verbally or in writing) directly to the RTO's staff with the

purpose to resolve a complaint through discussion and through mutual agreement. The student should be encouraged to discuss any issues with their trainer first before escalating it to the RTO Compliance Coordinator.

Formal Process

- When a client wishes to submit a formal complaint or is dissatisfied with the attempt to resolve a complaint informally (directly with staff) the client may submit a formal complaint in person to the Compliance Coordinator or by emailing training@trainingalliance.com.au - utilising the 'F036 Complaint Form'.
- The complaint will be registered by the Compliance Coordinator via F050 Complaints, Appeals and Incident Register
- The RTO's Management will respond in writing to all formal complaints within 7 days of receipt of a ' F036 Complaint Form'.
- When a complaint is recognised as requiring more than 60 calendar days to resolve the RTO's management will inform the complainant in writing, including reasons why more than 60 calendar days are required; and regularly update the complainant on the progress of the matter.

- The RTO's Management shall respond to formal complaints in writing proposing a resolution to the complaint.
- The RTO Management responses to the complainant shall include information and procedures concerning the complainant's right to appeal the proposed solution and request for an independent adjudicator.
- All complaints will be recorded in the complaints register F050 Complaints, Appeals and Incident Register and consideration of continuous improvement actions, to mitigate or eliminate reoccurrence.

External Review

- The CEO or Delegated Officer shall advise the complainant that an Independent Third party shall be sought to consider the nature of the complaint at no cost to the client.
- The RTO's CEO or Delegated Officer shall make contact with the Independent Third party and provide documentation related to the formal complaint.

- Independent adjudication responses must be within 7 days from the date that all formal complaint documentation is provided to the Independent Adjudicator and will make contact with

the RTO's Management staff and the client and arrange a suitable time for further discussion.

- All Independent Third Party solutions shall be final with written communication to both the client and the RTO Compliance Coordinator

Appeals

- All appeals including an assessment decision must be received within 1 month following the decision in writing.

Assessment Appeals Procedure

- Staff delivering training and assessment services on behalf of the RTO will be required to provide timely guidance to all course participants regarding the assessment appeals procedure.

- Trainers are required to discuss and clarify any aspects of the assessment results that a student does not understand.

- Appeals are to be lodged by completing F037 Appeal Form in person to the Compliance Coordinator or by emailing training@trainingalliance.com.au and registered on F050 Complaints, Appeals and Incident Register. Thus consideration of continuous improvement actions, to mitigate or eliminate reoccurrence

- All assessment appeals will be processed within 7 days of receipt of an appeal and have the assessment/decision in question, reassessed.

- RTO management will communicate any outcome decision with the appellant in writing and appoint an independent assessor at the client's request should the appellant be unsatisfied by the decision.

- The RTO will advise the appellant in writing of any reasons why the appeal may take longer than 60 days to finalise.

- Student records will be adjusted as per required

- All assessment appeals must be maintained on the student's file.

Complaints and appeals records

The RTO maintains confidential records of all complaints, appeals and their outcomes.